NASDAQ OMX System Application

This NASDAQ OMX System Application is for the NASDAQ OMX Global Data Agreement and/or other relevant NASDAQ OMX distributor and/or vendor agreements ("Agreements"). A "**Distributor**" is the organization applying for NASDAQ OMX datafeed. "Information" is defined in the Agreements. **For purposes of these instructions and the NASDAQ OMX Global Subscriber Agreement, "Distributor" shall also mean "Vendor".**

NASDAQ OMX requires that your organization submit a <u>separate </u>System Applicationfor <u>each entitlement system </u>that controls market data.

Date of Application: 申请日期

Distributor Name: 申请公司名称

All applicable policy details and documents may be accessed at the following link:
<u>http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsData/datapolicies.pdf</u>

Section 1: System Information

在如下选项中选择你们系统的属性，自己拥有的系统？非展示（如风险管理系统，下单系统等系统使用，不是像app或者网站直接展示数据）？第三方的系统展示使用？

What is the name of the system your organization will use to distribute NASDAQ OMX Information?

- ☐ Proprietary System: 勾选此项若自己拥有系统
- ☐ Non-Display System: 数据非展示性使用
- ☐ Third Party Display System: 供第三方系统使用

How does your organization intend to use NASDAQ OMX Information?

请选择数据是供非外部还是内部使用。如开发APP展示给你们的客户就是外部。内部就是指自己的员工使用。

☐ Internally　　☐ Externally　　☐ Internally and Externally

Section 2: Entitlement System

申请公司需要这样的用户管理系统来管理使用nasdaq数据的用户情况，并据此申报具体的用户数量。

Provide list of all Entitlement Systems and Software Providers with NASDAQ OMX databoth proprietary and/or third party.

Name of Entitlement System Provider	Name of Entitlement System
输入申请公司的名称	Name: 输入系统名称　　如手机APP名称，或者网站网址及名称

How will users be entitled? 申请公司通过什么方式来给客户授权使用数据的，请在如下方式中选择。

- ☐ Unique User ID & Password　使用用户名密码登陆方式才可以使用nasdaq数据，申请公司据此记录用户数量
- ☐ Interrogation Device (Non-Display)/IP Address　非展示性系统或者IP地址识别用户
- ☐ Per Query (entitling Subscribers for an individual price or quote) Complete **Appendix F**.　通过网页刷新次数／量来统计数据使用量，选择此方式，要填写本表格中的附件F。
- ☐ Unique Visitors (entitling number of unique visitors accessing a website)　使用用户唯一识别号方式来识别客户
- ☐ Cable Television (cable and /or satellite television households accessing the broadcast)
- ☐ Broadcast Households (broadcast television households access the broadcast)

How often will data in the Entitlement system be disseminated?

Entitlement Timeframe			
Entitlement Timeframe: 如果实时或者延迟数据就选择intraday。			
☐ Intraday	☐ End-of-Day	☐ Overnight	☐ Other _____
Name of Display Software Provider		**Name of Display Software/Product**	
申请公司名称		NAME: 系统／APP名称 Version Number: 系统版本号（最近的）	

Section 3: Unit of Count [Unit of Count determines pricing]

Select **ONE** applicable unit of count for this System Application:

如果您是通过app或者网站等方式给大众提供数据，那么主要在前两种标黄方式中选择。如果不仅是或不是，请跟我司人员详细沟通。

Distributor Controlled Products	Applicable Sections
☐ **Device/Access/Stand Alone/Internal:** Any controlled display product where the Distributor controls both the entitlements and the display of the Information. 如果在entitlement system里面选择的是用户民密码登录就选择这个 ☐ **Per Query Usage:** Information on a single security delivered once to a single device/user id. 如果刚才选择的是per query那么就选择这个	**(complete Sections 1 through 8, and Appendix A)** **(Appendix F)**
☐ **Non-Display:** Any controlled product where the Distributor controls the entitlements and there is no display of the Information.	**(complete Sections 1 through 8, and Appendix A)**
☐ **Hosted Solution:** A controlled product that contains Information offered by a Distributor on behalf of a Client Organization, where the Distributor provides Information to a Client Organization's External Subscribers by creating and administering a website or other system on behalf of the client, and Distributor substantially controls the system for the purpose of reporting usage or qualification, and the system is labeled, branded, or benefits the Client Organization.	**(complete Sections 1 through 8, and Appendix B)**
☐ **Enhanced Display Solution:** A controlled display product containing NASDAQ Depth Information, where the Distributor controls the entitlements and display and allows the Subscriber to access an Application Programming Interface ("API") or similar solution from that display product for utilization by that individual Subscriber only.	**(complete Sections 1 through 8, and Appendix C)**
Datafeed - Managed	
Managed Data Solution: Any product containing Information whereby a Distributor controls the entitlements, but may **not** control the display of the Information. ☐ **Managed Data Solution:** Display ☐ **Managed Data Solution:** Non-Display	**complete Sections 1 through 8, and Appendix D)**
Datafeed - Uncontrolled	
☐ **Datafeed Provider:** Any uncontrolled retransmission of Information. NASDAQ OMX considers the retransmission to be an uncontrolled datafeed if the Distributor does not control both the entitlements and the display of the Information and does not apply for a Managed Data Solution. Any organization receiving a Datafeed, (Recipients) from the Distributor is also recognized as Distributors at NASDAQ OMX.	**(complete Section 1 through 8, and Appendix E)**

Section 4: Contact Information 如下四个联系人都必须全部填写，并提供完整要求的电话、邮件、地址等信息。

Primary/ Business Contact 主要联系人，提供所有如下要求信息 电话，邮件，地址等	**Technical Contact** 技术联系人
Mr./Ms./Mrs. _____ First Name　　　　　Last Name _____ Phone Number _____ E-mail Address _____ Group E-mail Address [optional] Address:_____ _____	Mr./Ms./Mrs. _____ First Name　　　　　Last Name _____ Phone Number _____ E-mail Address _____ Group E-mail Address [optional] ☐ Same as Primary/Business Contact Address　如跟主联系人一致，勾选这里 Address:_____
Administrative /Reporting Contact 上报用户使用情况联系人	**Billing Contact** 财务联系人
Mr./Ms./Mrs. _____ First Name　　　　　Last Name _____ Phone Number _____ E-mail Address _____ Group E-mail Address [optional] ☐ Same as Primary/Business Contact Address Address: _____ _____	Mr./Ms./Mrs. _____ First Name　　　　　Last Name _____ Phone Number _____ E-mail Address _____ Group E-mail Address [optional] ☐ Same as Primary/Business Contact Address Address:_____ _____

Section 5a: Billing Information – All Distributors

Will your organization offer data services to affiliated companies? 是否有其他子公司需要从申请公司获得数据，如果没有选择NO，如果有填写下面的子公司信息。若信息不够请下载affiliates

☐ *No*   ☐ *Yes, then complete the below or* _List of Affiliates Form_ *if additional space is required.*

Affiliated Company Names*	Registered Address	Distributor's Group Holding
自公司名称	注册地址	母公司对其持股比例%

NASDAQ OMX Account Info	Invoice Format	Datafeed Billing Address
Existing Customer Number from Invoice: 若现有客户输入客户编号 or ☐ New Invoice 若新客户请勾选 Email address for Invoices: 负责发票或付款联系人邮箱	☐ email only ☐ email and paper ☐ paper only 此处选择接受发票的方式，邮件，纸制发票或者二者都要。如需纸制发票请填写右侧邮寄地址信息。	Street Address [P.O. Box Numbers Not Accepted] Street Address 2 City, State, Province, Postal Code Country

Section 5b: Billing Information – Nordic & Baltic Data   如不订阅北欧交易所数据，请跳过此部分。

Please check here if your organization does <u>NOT</u> receive NASDAQ OMX Nordic data. ☐

Please check here if this system qualifies for waiver of fees per the Nordic Member Rules. ☐

VAT/Company Number:	_____ [**required** for Nordic and/or Baltic only]
Members of NASDAQ OMX Nordic and Baltic	☐ Nordic Cash Equity Markets Membership ☐ Derivatives Market Membership ☐ Derivatives Market Maker/ Liquidity Provider ☐ Fixed Income Market Membership / ☐ Baltic Cash Equity Markets / ☐ Commodities Markets /

Section 6: Usage Reporting Administration

Distributors are required to submit monthly market data usage reports indicating number and location of terminals or user IDs or other measure of usage as specified below. Indicate submission method.

Monthly Summary Reporting	☐ NASDAQ OMX Reporting Application [NORA]
[required for ALL Internal and External Distributors]	(https://nora.nasdaqomx.com/) NORA registration takes place in 3 steps. (SEE FAQ)
PLUS Monthly Detailed Reporting Formats	☐ VRCSV/Comma Delimited
[required for datafeed Distributors, external Distributors and extranet providers]	☐ VRXLS/Spreadsheet ☐ TCB Data - http://www.tcbdata.com

Section 7: Distribution Services - General

本部分需要填写数据分发模式（第一列中判断贵司数据使用的途径为哪一种或几种。在对应项后面分别就数据是内部internal还是external外部使用，同时勾选内部或者外部是需要延迟delayed数据还是实时real time数据）。

How will your organization submit units of count and/or reportable units? See NASDAQ OMX Global Data Policies **for definitions**.

Submission of Information		Internal within Distributor's Group 采购数据供公司内部使用		External Subscribers [Attach screenshots] 分发给公司以外的人，如开发一个app或者网站展示给大众看就是外部使用。	
Distribution Method	**IP address**	**Real-time**	**Delayed**	**Real-time**	**Delayed**
User Terminal - Trading 如果提供具有交易功能的pc端软件，请选择此项		☐	☐	☐	☐
User Terminal - Research 如果仅提供数据展示的pc端软件，请选择		☐	☐	☐	☐
Mobile Device 手机APP，请选择		☐	☐	☐	☐
Wallboard 大屏，请选择		☐	☐	☐	☐
Television 电视终端，请选择		☐	☐	☐	☐
Website, Internet, Intranet 如果给网站提供数据，请选择		☐	☐	☐	☐
Text Messaging		☐	☐	☐	☐
Sponsored Access		☐	☐	☐	☐
Direct Market Access/DMA		☐	☐	☐	☐
Risk Management		☐	☐	☐	☐
Back or Middle Office		☐	☐	☐	☐
Clearing and Settlement		☐	☐	☐	☐
Other [specify] a)_____ b)_____		☐ ☐	☐ ☐	☐ ☐	☐ ☐

Section 8: Other Distribution Services

Non-Display Usage

如果数据是给手机app或者网站展示给大众使用，请在第1点，选择no。如黄色标注。

1. Will your organization offer **Non-Display** services? ☒ No ☐ Yes	Direct Access	Internal Distribution	External Distribution
a. Automated Trading	☐	☐	☐
b. Automated Trading with Manual Intervention	☐	☐	☐
c. Order Routing	☐	☐	☐
d. Program Trading and High Frequency Trading	☐	☐	☐
e. Order Verification	☐	☐	☐
f. Automated Surveillance Programs	☐	☐	☐
g. Risk management	☐	☐	☐
h. Clearing and settlement activities	☐	☐	☐
i. Account Maintenance (e.g. controlling margin for a customer account)	☐	☐	☐
j. Hot disaster recovery	☐	☐	☐
k. Trading Platform (operated by a registered Exchange, ATS, or ECN)	☐	☐	☐

l. Other Non-Display Use
  a)_____
  b)_____
	☐
	☐
		☐
		☐
			☐
			☐

Derived Data Usage

如手机app或者网站展示原始交易所数据，请跳过此部分

2. Will your organization offer **Derived Data**? ☐ Yes ☐ No	Co-Location	Internal Distribution	External Distribution
a. Creation Indices	☐	☐	☐
b. Single Security Symbol Data	☐	☐	☐
c. Multiple Security Symbol Data	☐	☐	☐

2b. Describe how your firm intends to use Derived Data: _____

Section 9: Subscriber Agreement Information

贵司app或者网站提供数据给大众使用，需要选择如下用户使用条款的方式。请勾选下框。

[External Distribution Only] To skip this question, please check here if your organization does <u>NOT</u> distribute market data to external Subscribers. ☐

As an external Distributor, your organization must administer the NASDAQ OMX Global Subscriber Agreement or equivalent to Subscribers. **How will your organization administer the NASDAQ OMX Subscriber Agreement?**

NASDAQ OMX Subscriber Agreement Administration Requirements are detailed in the <u>Agreements</u>.	
☐ **Vendor Indemnification**	Distributor does not offer the NASDAQ OMX Subscriber Agreement to Subscriber but instead offers the Distributor's own agreement.
☐ **Online**	Distributor offers the NASDAQ OMX Subscriber Agreement via the internet.
☐ **Incorporation by Reference**	Distributor adds specific language into the Distributor's own agreement with the Subscriber.
☐ **Hard Copy/Paper**	Distributor provides Subscriber with a paper copy of a NASDAQ OMX Subscriber Agreement. Distributor **retains executed originals**, but does not submit documents to NASDAQ OMX.

贵司提供自定义的用户使用条款给你们的用户，则选择此项。

如果贵司将订阅协议(subscriber agreement)通过在线方式提供给你们的用户，请选择此项。

客户将订阅协议根自己的用户使用条款整合作为数据使用的条款给客户

提供纸制的nasdaq subscriber agreement 让客户签署

Section 10: Application Signature

I certify that the information provided on this System Application and all Appendices is accurate.

Signature:	提供手写签名
Print Name:	输入签字人的姓名
Title:	职位
Date:	签署日期

Appendix A: Device/Access/Stand Alone/Non-Display

Describe how your organization intends to use the market data on a separate sheet. [System diagram required]

Please provide the following information:

Internal Redistribution 如要将数据提供给公司内部的人员使用时，请勾选

☐ Data will be distributed internally to employees and affiliated companies' employees only. Data will not be redistributed to organizations outside of the company and company affiliates.

a. Indicate total number of user ids/devices presently on the network. [**Include all devices that receive real-time data**].	并在这里写明多少个内部人员使用该数据，所有内部用户 都将是专业用户professional users。 在年月的位置写上投产日期 _____ / _____
	Total Devices: Month/ Year

External Redistribution 若手机app或者网站展示给大众的，请勾选下面方框打勾。（详细的说明就是如果数据不仅仅是给公司内部员工 或者关联公司员工使用，数据会被发送给贵司意外的人看到，就要选择此项）

☐ Data will be distributed externally to non-employees and non-affiliated companies' employees only. Data will be redistributed to organizations outside of the company.

a. Will data from a service be redistributed to additional servers, which in turn, can redistribute data to various users, servers and/or devices?	☐ No	☐ Yes
If yes, please explain: 贵司是否会将数据发送给一个服务器，而这个服务器可以将该数据转发给其它 用户，服务器或者电脑设备。如果是，请注明这些用户，服务器或者电脑是属 于贵司所有还是第三方所有。		

b. Will your firm offer an API (Application Programming Interface) or DDE (Dynamic Data Exchange) as part of your display service?	☐ No	☐ Yes
If yes, please explain: 贵司是否会提供API接口将数据提供给其它人或公司使用?		

c. Will your display service be compatible with third party software (i.e. Order Management System, EMS, Charting Portfolio, etc.)?	☐ No	☐ Yes
If yes, please explain: 数据是否用于下单，交易执行?		

d. Indicate type of external Subscriber receiving data. 贵司的用户使用数据的用户类型，请选择。专业或者非专业用户?	☐ External Professional ☐ External Non-Professional
e. Indicate total number of user ids/devices presently on the network. [Include all devices that receive real-time data]. 请填写预计多少个外部用户会使用数据，以及系统投产日期	_____ / _____ Total Devices Month/ Year

Appendix B: Hosted Solution 如果您不是为第三方公司提供数据展示相关服务，请跳过此部分。

Describe how your organization intends to use the market data on a separate sheet. [System diagram required]

Hosted Solution is a delivery option for a controlled data product that contains NASDAQ OMX information offered by a Distributor on behalf of a client organization, where the Distributor can substantially control the information for the purpose of reporting usage or qualification. Controlled data products include systems where the Distributor monitors and controls the entitlement and access to the market data.

☐**Yes**, I understand this contractual requirement.

1. Will your organization technically display the data, and/or will a third party provide the hosted solution? ◯ Yes ◯ No   ◯ Yes ◯ No

   Third Party Name: _____

a. Indicate total number of user ids/devices presently on the network. [**Include all devices that receive real-time data**].	_____ Total Devices	____/____ Month/ Year

b. Products that are part of the hosted solution US and Nordic:

US Hosted Solutions Products	Nordic Hosted Solutions Products
Service level	**Service level**
Global Index Data Service (GIDS) – Hosted Solution	Nordic Delayed Datafeed Recipient Hosted Solution
Mutual Fund Dissemination Service (MFDS) - Hosted Solution	Nordic Hosted Delayed Issuer Per Isin
	Nordic Hosted Real-time Issuer Per Isin
	Nordic Hosted Delayed Data Issuer Per Peer Group of ISIN
	Nordic Hosted Real-time Issuer Per Peer Group of ISIN
	Nordic Equity Last Sale Hosted Solution
	Nordic Equity Level 1 and Level 2 Private Hosted Solution
	Nordic Equity Level 1 and Level 2 Business Hosted Solution

A list of Client Organizations must be submitted with the application. (Use VRCSV format only. (Additional information can be found in GDP Data Polices - Usage Reporting Policy: Submission of Reports for business requirements.)

Appendix C: Enhanced Display Solution   如未告知，请跳过此部分。

Describe how your organization intends to use the market data on a separate sheet. [System diagram required]

Your organization will offer NASDAQ OMX Depth Information in its own messaging formats (rather than its raw NASDAQ OMX message formats) by reformatting, redisplaying and/or altering the Nasdaq Depth Information prior to retransmission, but **not** to affect the integrity of the NASDAQ Depth Information and **not** to render it inaccurate, unfair, uninformative, fictitious, misleading or discriminatory.

☐ **Yes**, I understand the Enhanced Display Solution option.

a. Indicate which NASDAQ Depth Information will be utilized on this system.	☐ NASDAQ TotalView /OpenView ☐ NASDAQ Level 2/ OpenView

b. Explain how the Subscriber accesses the data, or causes your system to access the data?
If yes, please explain:

c. How will your system monitor Subscribers for any non-display or excessive use?
If yes, please explain:

d. Will your organization offer a service that includes an API [Application Programming Interface] or similar solution for clients or Subscribers?	☐ No	☐ Yes

If yes, please explain:

e. Indicate type of Subscriber receiving data.	☐ Professional	☐ Non-Professional
f. Indicate total number of user ids/devices presently on the network. [**Include all devices that receive real-time data**].	_____ Total Devices	_____/_____ Month/ Year
g. If no user ids/devices are presently on the network, provide approximate start date of first Subscriber.	_____/_____ Month/ Year	

Appendix D: Datafeed - Managed Data Solution 如未告知，请跳过。

Managed Data Solutions fee structure, Distributors may now provide datafeeds, Application Programming Interfaces (APIs) or similar automated delivery solutions to client organizations whereby the Distributor controls the entitlements, but may **not** control the display (if any) of the Information. . The recipient of a Managed Data Solution may use the information **for internal purposes only** and may not distribute the information to other internal Subscibers withint their firm or to any Susbcibers outside of their organization.

☐ **Yes**, I understand this contractual requirement.

a. Indicate which NASDAQ Depth and/or Nordic Information will be received on this system.	☐ NASDAQ TotalView /OpenView ☐ NASDAQ Level 2/OpenView ☐ NASDAQ TotalView – ITCH FPGA ☐ NASDAQ OMX Nordic Equity ITCH –TotalView (Non-display only) ☐ NASDAQ OMX Nordic Derivatives ITCH – TotalView (Non-display only) ☐ PHLX Orders ☐ Top Of PHLX Options (TOPO) ☐ BX TotalView ☐ PSX TotalView
b. Indicate total number of user ids/devices and/or Sponsored Access firms presently on the network. [**Include all devices that receive real-time data**].	_____ Total Devices _____/_____ Month/ Year
c. If no user ids/devices or Sponsored Access firms are presently on the network, provide approximate start date of first Subscriber.	_____/_____ Month/ Year
d. Describe how your firm will normalize the datafeed.	

Please explain:

Will your organization offer the following services?

e. Will data from a service be redistributed to additional servers, which in turn, can redistribute data to various users, servers and/or non-display devices?	☐ No	☐ Yes

If yes, please explain:

f. Will your organization offer a service that includes an API [Application Programming Interface] or DDE [Dynamic Data Exchange] as part of your display service?	☐ No	☐ Yes

If yes, please explain:

Appendix E: Datafeed (Uncontrolled): 如未告知，请跳过。

Retransmission Datafeed is defined as any uncontrolled retransmission of NASDAQ OMX data where the Distributor does not control either the entitlements or the display of the market data.

1. Confirm your understanding that a datafeed may not be provided for real-time and delayed, snapshot and streaming data until your firm receives written permission (via fax, hard copy or e-mail) from NASDAQ OMX Global Data Products for the approval of each datafeed. It is the datafeed provider's obligation to ensure the necessary application information is provided to its datafeed customers.

☐ **Yes**, I understand this contractual requirement.

2. Which type of NASDAQ OMX datafeeds will your organization provide?

Datafeed Service	Real Time Datafeed		Datafeed Service	Real Time Data Feed	
NASDAQ U.S. Equities	◯Yes	◯No	NASDAQ OMX PSX	◯Yes	◯No
NASDAQ OMX Nordic	☐Yes	☐No	NASDAQ OMX Global Index Data	☐Yes	☐No
NASDAQ OMX Baltic	◯Yes	◯No	NASDAQ OMX Commodities	◯Yes	◯No
NASDAQ OMX PHLX	◯Yes	◯No	NASDAQ Options Market (NOM)	◯Yes	◯No
NASDAQ OMX BX	◯Yes	◯No	UTP Level 1	◯Yes	◯No

3. Will your organization redistribute uncontrolled data within the NASDAQ Co-Location facility?

◯Yes   ◯No

Note: NASDAQ OMX requires each datafeed Distributor to provide a list of all active datafeeds to NASDAQ OMX on a monthly basis. Datafeed Distributors are permitted to provide a total inventory and update the base inventory with adds and deletes each month. Such reporting requires the following information:

- Datafeed Subscriber Name and Billing Address.
- Customer Type [MDS, EDS, etc.]
- Datafeed Location or Installation Address.
- Level of Service - NASDAQ Level 1 Service, Level 2, GIDS (External), BX TotalView, OMX TotalView etc.
- Timing of Datafeed - Real-time, Delayed or Real-Time Index
- Number of Datafeeds at each location
- Installation/Termination Date

(Use VRCSV format only. (Additional information can be found in GDP Data Polices - Usage Reporting Policy: Submission of Reports for business requirements.)

Appendix F: Per Query Usage 如您在第二部分，选择了per query的方式认证用户信息，需要填写此部分，否则请跳过。

Distributors offering Per Query services must comply with the following requirements for providing queries. **A QUERY is defined as Information on a single security delivered once to a single device/user id.** It may be required that each Distributor provide a demonstration of the query counting system **prior** to implementation. **NOTE: Distributors are not permitted to offer NASDAQ proprietary products such as NASDAQ index, NASDAQ TotalView on a per query basis.**

1. Distributors must count and report all real-time queries distributed during the below listed timeframes. Indicate the time period(s) your system distributes and your system counts queries.

Timeframe	Yes/No
pre-market session: 4:00 a.m. to 9:45 a.m., Eastern Time (ET)	☐ Yes ☐ No
regular market session: 9:30 a.m. to 4:15 p.m., ET	☐ Yes ☐ No
post-market session: 4:00 p.m. to 8:15 p.m., ET	☐ Yes ☐ No

2. Provide the values (code script) that your firm utilizes to differentiate between the 5 markets:

Security Type	Value Shown
NASDAQ Global Select Market^{SM}	
NASDAQ Global Market^{SM}	
NASDAQ Capital Market$^{®}$	
OTC Bulletin Board	
Other OTC Securities	

3. Distributors must ensure the meter counts queries distributed on all screens including: portfolio screens; charts; pre-trade and post trade confirmations; and real-time queries provided to delayed subscribers at the time of the trade. Indicate pages your system offers real-time queries.

Page Display	Yes/No
Single Security Information	☐ Yes ☐ No
Portfolio	☐ Yes ☐ No
Charts/Graphs	☐ Yes ☐ No
Pre-trade confirmation	☐ Yes ☐ No
Post trade confirmation	☐ Yes ☐ No
Others:_____	☐ Yes ☐ No