



This Data Feed Request Form is for the Nasdaq Vendor Agreement for UTP Services and/or other applicable UTP agreements. Please submit a separate Data Feed Request Form for each Data Feed Provider.

All applicable policy details and pricing information may be accessed at: http://www.utpplan.com/data_admin.

CORPORATE INFORMATION

| | | |
|---|-----------------------------------|---------|
| Vendor Name (Company Name) – (Required) | | |
| | | |
| Company Name | Telephone number | |
| Contact Name | Email address | Date |
| Primary Data Feed Installation Address (Required) | | |
| | | |
| Street Address (P.O. Box Numbers Not Accepted) | City, State, Province, Postal/ZIP | Country |
| Backup Data Feed Installation Address. | | |
| | | |
| Street Address (P.O. Box Numbers Not Accepted) | City, State, Province, Postal/ZIP | Country |

ORDERING INFORMATION

Please enter the Data Feed Provider information.

| | |
|---|--|
| Data Feed Provider/Vendor Name: | |
| Vendor Account Number or Data Feed Location: | |
| Anticipated service start date: (Production start date) | |

CONNECTION INFORMATION

Please select your firm's Data Feed Connection/Source Type:

| | |
|---|--|
| INDIRECT ACCESS – connections from a Retransmission Data Feed Provider. Please complete section A. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| DIRECT ACCESS - including Extranet, Nasdaq Direct Circuit, Nasdaq POP and NASDAQ Co-Location connections. Please complete Section B. | <input type="checkbox"/> Yes <input type="checkbox"/> No |

A. For **INDIRECT ACCESS**, enter the Add Date.

| UTP LEVEL 1 SERVICE (Nasdaq-Listed / FINRA OTC Equities) | Add Date |
|--|----------|
| UTP Level 1 Real-time | |
| UTP Level 1 Delayed 15 minutes | |

B. For **DIRECT ACCESS** please enter the Add Date for each specific Data Feed product.

| UTP LEVEL 1 SERVICE (Nasdaq-Listed / FINRA OTC Equities) | Add Date |
|---|----------|
| UTP Data Services (Nasdaq-Listed Tape C Eligible Securities) | |
| UTP Trade Data Feed (UTDF) | |
| UTP Quotation Data Feed (UQDF) | |
| UTP Snap-Shot (optional add-on service) Requires Direct Access of UTP Services | |
| FINRA OTC Data (FINRA OTC Equity Securities Rule 6400) | |
| FINRA - Trade Data Dissemination Service (TDDS) | |

SYSTEM INFORMATION

What is the name of the System(s) your organization will use to distribute the UTP Level 1 Information? Please submit a separate list if your firm has more than two (2) systems.

| System 1 | System 1 Type | Approval Type |
|---|--------------------------------------|------------------------|
| System Name 1: | Internal Use Only [Employees] | Previously Approved |
| | External Use Only [Non-Employees] | |
| If the above system has not been previously approved, please submit a SYSTEM APPLICATION, either Online or Hard Copy | Both Internal and External Use | New System |

| System 2 | System 2 Type | Approval Type |
|---|--------------------------------------|------------------------|
| System Name 2: | Internal Use Only [Employees] | Previously Approved |
| | External Use Only [Non-Employees] | |
| If the above system has not been previously approved, please submit a SYSTEM APPLICATION, either Online or Hard Copy | Both Internal and External Use | New System |

USAGE INFORMATION

Please indicate the Unit of Count for Usage Reporting for each System that distributes UTP Level 1 Information.

| Unit of Count/Usage Reporting | System Name 1: | System Name 2: |
|---|--|--|
| REAL-TIME USAGE | | |
| Internal Professional Subscribers | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| External Professional Subscribers | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| External Non-Professional Subscribers | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Per Query | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Voice Ports or Cable Television | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Non-Display Electronic Trading System | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Non-Display use on its own behalf | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Non-Display use on behalf of customers | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Retransmission Data Feed Direct (Extranet/CoLo) | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Retransmission Data Feed Indirect | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Other | Describe: | Describe: |
| DELAYED USAGE | | |
| Delayed Data Usage | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |

APPLICATION SIGNATURE & CERTIFICATION

I certify that the information provided on this UTP Data Feed Request Form is accurate.

| | |
|-------------|--|
| Signature: | |
| Print Name: | |
| Title: | |
| Date: | |