

Nasdaq GEMX Port

Request Form

Please email the completed form to subscriber@nasdaq.com or fax to +1 212 231 5426.

GEMX Member Firm Name						
Service Bureau						
Request Type	<input type="checkbox"/> Add	<input type="checkbox"/> Remove	<input type="checkbox"/> Modify			
Products	<input type="checkbox"/> SQF	<input type="checkbox"/> FIX	<input type="checkbox"/> Purge	<input type="checkbox"/> OTTO	<input type="checkbox"/> FIX DROP	<input type="checkbox"/> CTI

Sponsored Access (required)

Is your member organization planning to use this port for Sponsored Access? ¹	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, provide the name of the party that is being sponsored by your firm.		

Complete this section when requesting SQF port

Select connection type	<input type="checkbox"/> Production	<input type="checkbox"/> OTF
	<input type="checkbox"/> Chicago / Backup DR Port	
Has this version of your front-end application been certified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How many sessions are you requesting (Default: 1)?		
Would you like to copy presets from an existing port?*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<small>*Note, for initial set up of Nasdaq GEMX ports on the INET platform, there will be no presets to copy. Once a firm has established FIX, SQF or OTTO connections, the presets for those ports will be able to be copied.</small>		
If yes, please provide the login name you wish to copy:		
What is your Nasdaq Market Maker Firm Identifier?		
What is the port disconnection time period (Default: 15 sec)?		

What are the Rapid Fire and Market Wide Speed Bump Settings?													
• Cumulative Count/Time Interval:													
• Percentage Count/Time Interval:													
• Delta/Time Interval: _													
• Vega/Time Interval:													
• Market Wide Speed Bump Curtailment Limit / Time Interval: <small>Note: the time interval must be between 100 milliseconds and 30 seconds.</small>													
Enable notification messages?	<input type="checkbox"/> Yes <input type="checkbox"/> No												
Select the notification messages you wish to receive on your SQF port: <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> Simple Instrument Directory</td> <td><input type="checkbox"/> Simple Instrument Auction Notification</td> </tr> <tr> <td><input type="checkbox"/> Underlying Permission Notification</td> <td><input type="checkbox"/> Simple Quote Execution Notification</td> </tr> <tr> <td><input type="checkbox"/> Opening Spread Multiplier Notification</td> <td><input type="checkbox"/> Quote Update Notification</td> </tr> <tr> <td><input type="checkbox"/> MM Parameter Definition Notification</td> <td><input type="checkbox"/> Purge Notification</td> </tr> <tr> <td><input type="checkbox"/> Rapid-Fire Configuration Notification (to be deprecated)</td> <td><input type="checkbox"/> Market Reentry Notification</td> </tr> <tr> <td><input type="checkbox"/> Simple Instrument Trading Action</td> <td><input type="checkbox"/> Simple MSAR Notification</td> </tr> </table>		<input type="checkbox"/> Simple Instrument Directory	<input type="checkbox"/> Simple Instrument Auction Notification	<input type="checkbox"/> Underlying Permission Notification	<input type="checkbox"/> Simple Quote Execution Notification	<input type="checkbox"/> Opening Spread Multiplier Notification	<input type="checkbox"/> Quote Update Notification	<input type="checkbox"/> MM Parameter Definition Notification	<input type="checkbox"/> Purge Notification	<input type="checkbox"/> Rapid-Fire Configuration Notification (to be deprecated)	<input type="checkbox"/> Market Reentry Notification	<input type="checkbox"/> Simple Instrument Trading Action	<input type="checkbox"/> Simple MSAR Notification
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<input type="checkbox"/> Simple Instrument Trading Action	<input type="checkbox"/> Simple MSAR Notification												

Complete this section when requesting the OTTO port

Select connection type	<input type="checkbox"/> Production <input type="checkbox"/> OTF <input type="checkbox"/> Chicago / Backup DR Port				
Has this version of your front-end application been certified?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
How many sessions are you requesting (Default: 1)?					
Would you like to copy presets from an existing port?*	<input type="checkbox"/> Yes <input type="checkbox"/> No				
<small>*Note, for initial set up of Nasdaq GEMX ports on the INET platform, there will be no presets to copy. Once a firm has established FIX, SQF or OTTO connections, the presets for those ports will be able to be copied.</small>					
If yes, please provide the login name you wish to copy:					
What is your Nasdaq GEMX Firm Identifier?					
Do you wish to enable Cancel on Disconnect (Default = No)?	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Select the notification messages you wish to receive on your OTTO port: <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> Simple Instrument Directory</td> <td><input type="checkbox"/> Instrument Trading Action</td> </tr> <tr> <td><input type="checkbox"/> New Auction Notification</td> <td><input type="checkbox"/> Trade Details</td> </tr> </table>		<input type="checkbox"/> Simple Instrument Directory	<input type="checkbox"/> Instrument Trading Action	<input type="checkbox"/> New Auction Notification	<input type="checkbox"/> Trade Details
<input type="checkbox"/> Simple Instrument Directory	<input type="checkbox"/> Instrument Trading Action				
<input type="checkbox"/> New Auction Notification	<input type="checkbox"/> Trade Details				

Confirm order handling when triggered:	<input type="checkbox"/> Block <input type="checkbox"/> Block / Delete
• Max Number per Orders Type:	
• Max Number per Contracts Executed:	
Do you wish to have the system Preference Orders on your firm's behalf?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, indicate which Market Maker	

Complete this section when requesting FIX Drop Port

Select connection type	<input type="checkbox"/> Production <input type="checkbox"/> OTF <input type="checkbox"/> Chicago / Backup DR Port
Has this version of your front-end application been certified?	<input type="checkbox"/> Yes <input type="checkbox"/> No
How many sessions are you requesting (Default: 1)?	_____ Trade-Drop Copy _____ Order-Drop
Would you like to receive all Customer or Firm Indicators or only those sent to OCC on the Trade Drop Copy?	<input type="checkbox"/> OCC Only <input type="checkbox"/> Order-Drop
Would you like to include clearing fields?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Would you like to include Client ID (Tag 109) when the FIX Port user specifies the Exec Broker (tag 76)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you want to group your Order Drop Copy by Firm Identifier?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, provide the Firm Identifier:	
Do you want to group your Trade Drop Copy by CMTA, Give Up or Firm Identifier?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, provide:	

Complete this section when requesting CTI (Clearing Trade Interface) Port

Select connection type	<input type="checkbox"/> Production <input type="checkbox"/> OTF <input type="checkbox"/> Chicago / Backup DR Port
Has this version of your front-end application been certified?	<input type="checkbox"/> Yes <input type="checkbox"/> No
How many sessions are you requesting (Default: 1)?	
Do you wish to enable Trades Only?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you wish to enable Extended Cancels?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What Firm Identifiers do you wish to receive clearing messages for?	
What is the OCC Clearing Account number (Clearing Firms / Self Clearing Firms only)?	

Additional Comments and/or Request Notes

Contact Information

	Contact Name	Phone	Email
Technical			
Business			
Compliance			

Order Authorization

Authorized Contact: (Please Print)			
Signature		Date	

1 Nasdaq ISE, Nasdaq GEMX and Nasdaq MRX Rules 706 allow market participants to enter into sponsored access relationships. Sponsored Access is defined in these rules as an arrangement whereby a member permits its customers to enter orders into the exchange's trading system that bypass the member's trading system and are routed directly to the exchange, including routing through a service bureau or other third party technology provider. If you have a sponsored access arrangement, you are required to disclose that relationship by sending an email to membership@nasdaq.com. Please indicate the party that is being sponsored by your firm and on which market. This information is utilized for both regulatory and operational information in granting access.