

Nasdaq ISE (ISE) Port Request Form

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

ISE Member Firm						
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	
If yes, please provide the login name you wish to copy			
What is your ISE Market Maker Firm Identifier?			
What is the port disconnection time period (Default: 15 sec)?			
Enable notification messages?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

Select the notification messages you wish to receive on your SQF port:

<input type="checkbox"/> Simple Instrument Directory	<input type="checkbox"/> 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
<input type="checkbox"/> Complex Instrument Directory	<input type="checkbox"/> Complex Trading Action
<input type="checkbox"/> Complex Quote Execution Notification	<input type="checkbox"/> Complex Quote Leg Execution Notification
<input type="checkbox"/> Complex MSAR Notification	<input type="checkbox"/> Complex MSAR Leg 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
If yes, please provide the login name you wish to copy	
What is your ISE 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:	
<input type="checkbox"/> Simple Instrument Directory <input type="checkbox"/> Complex Instrument Directory <input type="checkbox"/> Instrument Trading Action	

Complete this section when requesting FIX port

Select connection type:	<input type="checkbox"/> Production <input type="checkbox"/> OTF <input type="checkbox"/> Chicago / Backup DR Port
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
If yes, please provide the login name you wish to copy:	
What is the source IP address?	

What is the SenderSubID (Service Bureau Only)?			
What is the default OCC clearing number?			
Do you wish to enable Mass Cancel on Disconnect?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Do you wish to enable Persist Day Orders?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
If you have elected to set Risk Limits on your connections, please provide your settings below:			
• What is the Notional dollar value per order?			
• What is the aggregate Notional dollar value?			
• What is the Quantity per order?			
• What is the Aggregate Quantity?			
Do you wish to enable Kill Switch?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, provide Port, Firm Identifier or Firm Identifier / Port to be configured:			
What are the Market Wide Risk Protection parameters?			
(Note: This is a mandatory setting for all market participants. If the settings are not provided, the default settings in the table below will be configured to the session and the default handling will be set to Block and Delete.)			
Threshold	Simple Instrument	Standard Combo*	Stock Combo*
Max Order Count	20,000	20,000	20,000
Max Order Timer	1 second	1 second	1 second
Max Order Action	Kill Switch	Kill Switch	Kill Switch
Max Trade Volume	100,000	200,000	N/A
Max Trade Timer	1 second	1 second	N/A
Max Trade Action	Kill Switch	Kill Switch	N/A
Who are the authorized personnel to allow re-entry to the market?			
Confirm order handling when triggered	<input type="checkbox"/> Block <input type="checkbox"/> Block / Delete		
• Max Orders:			
• Max Executions			
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 markets Maker:			

All FIX ports will be configured by default to suppress FIX PTA messages unless the member firm instructs that the FIX port be configured to send the PTA messages. Please specify your preference with regards to PTA messages.

Do you want PTA messages on your FIX port?	<input type="checkbox"/> Yes <input type="checkbox"/> No
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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 Client ID (Tag 109) and stockLegMpid (tag 9076) for stock leg execution, 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.

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Please be advised that beginning on January 2, 2013, all new port requests from subscribers must be received no later than 3:00PM EST to guarantee processing for the next trading day. In the event that Nasdaq receives a request after 3:00PM EST, every effort will be made by Subscriber Services to process the request for the next day, but delivery will not be guaranteed. In all cases, Subscriber Services will respond promptly with an estimated date of completion.

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