

NFX

Request Form

Please email the completed form to nfxops@nasdaq.com.

Participant

Firm Name			
MPID		Length: 3-5 Characters Alphanumeric	
Contact Person		Contact Phone	
Contact Email			
Environment	<input type="checkbox"/> Test	<input type="checkbox"/> Production	

Authorization*

Authorized Signature

Signature		Date	
Name In Print		Title In Print	

General Information

Type Of Participant	<input type="checkbox"/> Clearing Firm	<input type="checkbox"/> Sponsored Client	<input type="checkbox"/> Block Broker
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Required for non-FCM participants

Clearing Firm Name			
Clearing MPID		Length: 3-5 Characters Alphanumeric	

FIX Ports

FIX Order Entry

Number Of Ports		
Trade Capture Report	<input type="checkbox"/> On (Default)	<input type="checkbox"/> Off
Self Match Prevention	<input type="checkbox"/> On (Default)	<input type="checkbox"/> Off
Prevention Method	<input type="checkbox"/> Cancel Oldest	<input type="checkbox"/> Cancel Newest

FIX Drop

Number Of Ports		
FIX Filter	MPID	Accounts
Drop Messages	<input type="checkbox"/> Trade Capture Report (Message Type "AE" - Equivalent to BD6, dedicated trade info that stems from the clearing engine)	
	<input type="checkbox"/> Execution Report * (Message Type "8" - Equivalent to B05, firm order book info)	

I hereby authorize NFX to deliver these Ports to the vendor listed below. I understand that NFX will work directly with the vendor to ensure that the initial ports are set up properly. However, NFX will not take any other instructions related to the ports beyond initial setup without the express written consent from the participant directly.

Enable

Vendor Name	Contact Name	Contact Email	Contact Phone

FIX REFERENCE DATA

Number Of Ports	
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FIX Users

Trading Users

Number Of Users			
Cancel On Disconnect	<input type="checkbox"/> Remove Day Orders (Default)	<input type="checkbox"/> Remove All Orders	<input type="checkbox"/> Keep Orders

Market Makers

Number Of Users			
Cancel On Disconnect	<input type="checkbox"/> Remove Day Orders (Default)	<input type="checkbox"/> Remove All Orders	<input type="checkbox"/> Keep Orders

Trade Report Users (Brokers)

Number Of Users	
Additional Information	

GLOSSARY

MPID - Market Participant Identifier

Type of participant

- Clearing Firm - FCM
- Sponsored Client - Trading firm clearing through FCM
- Block Broker - Off-Exchange Reporting Broker

Self-match prevention - Turned On will not allow the same MPID to match with its own orders.

User types

- Trading User - FIX Trading Session User
- Market Maker User - Can send market making FIX messages like Mass Quote

Only For NFX Market Operations Record

SET UP BY			
Signature		Date	

Verified By			
Signature		Date	

*Authorized signatures are required in order to effectuate this form and any amendments hereto. Authorized signatures are only made by (i) person(s) authorized as Designated Representative(s) or (ii) person(s) having general signing authority for the participant.

IN THE CASE OF A SIGNATURE FROM A PERSON OTHER THAN A DESIGNATED REPRESENTATIVE, PLEASE PROVIDE EVIDENCE TO SHOW THAT THE PERSON HAS GENERAL SIGNING AUTHORITY, SUCH AS A COPY OF THE COMPANY BY-LAWS OR BOARD ACTION ITEM GIVING SUCH APPROVAL.

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