

**NEW YORK STOCK EXCHANGE
NONPROFESSIONAL SUBSCRIBER
AGREEMENT**

AND

**OPTIONS PRICE REPORTING AUTHORITY
ADDENDUM FOR NONPROFESSIONAL
SUBSCRIBERS**

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NEW YORK STOCK EXCHANGE NONPROFESSIONAL SUBSCRIBER AGREEMENT

1. NONPROFESSIONAL SUBSCRIBER DEFINITION – “Nonprofessional Subscriber” means any natural person who receives market data solely for his/her personal, nonbusiness use and who is not a “Securities Professional.” A “Securities Professional” includes an individual who, if working in the United States, is:

- (a) registered or qualified with the Securities and Exchange Commission (the “SEC”), the Commodities Futures Trading Commission, any state securities agency, any securities exchange or association, or any commodities or futures contract market or association.
- (b) engaged as an “investment advisor” as that term is defined in Section 202 (a) (11) of the Investment Advisor's Act of 1940 (whether or not registered or qualified under that Act), or
- (c) employed by a bank or other organization exempt from registration under Federal and/or state securities laws to perform functions that would require him or her to be so registered or qualified if he or she were to perform such functions for an organization not so exempt.

A person who works outside of the United States will be considered a “Securities Professional” if he or she performs the same functions as someone who would be considered a “Securities Professional” in the United States.

You (“Subscriber”) may not receive Market Data as a “Nonprofessional Subscriber” unless Scottrade, Inc. (“Vendor”), the vendor providing that data to Subscriber, first determines that the individual falls within Paragraph 1’s definition of “Nonprofessional Subscriber.”

2. PERMITTED RECEIPT - Subscriber may not receive Market Data from Vendor, and Vendor may not provide Market Data to Subscriber, on a “Nonprofessional Subscriber” basis unless Vendor first properly determines that Subscriber qualifies as a “Nonprofessional Subscriber” as defined in Paragraph 1 and Subscriber in fact qualifies as a “Nonprofessional Subscriber.”

3. PERMITTED USE – If Subscriber is a Nonprofessional Subscriber, he or she shall receive Market Data solely for his or her personal, non-business use.

4. PERSONAL AND EMPLOYMENT DATA – Subscriber shall notify Vendor promptly in writing of any change in his or her circumstances that may cause him or her to cease to qualify as a Nonprofessional Subscriber.

5. CERTIFICATION – By checking the acknowledgement box that becomes active after closing this Agreement, Subscriber hereby certifies that he or she falls within Paragraph 1's definition of “Nonprofessional Subscriber” and that the personal and employment information that he or she has provided to Vendor is truthful and accurate.

**OPTIONS PRICE REPORTING AUTHORITY ADDENDUM
FOR NONPROFESSIONAL SUBSCRIBERS**

(To be completed by Nonprofessional Subscribers only)

The purpose of this Addendum is to determine whether you are a “Nonprofessional” for OPRA’s purposes. OPRA defines a “Nonprofessional” as a legal person for whom the statements set out in Section 1 of this Addendum are true.

1. You represent and agree that the following statements are and will continue to be true for so long as you receive OPRA Data as a Nonprofessional:
 - (a) You are either a “natural person” (an individual human being) or a “qualifying trust.”*
You are not a corporation, partnership, limited liability company, or other form of entity (including any form of trust that does not qualify as a qualifying trust).
 - (b) If you are a natural person, you shall use the OPRA Data solely in connection with your personal investment activities and the personal investment activities of your immediate family members** and qualifying trusts of which you are the trustee or custodian. If you are a qualifying trust, you shall use the OPRA Data solely in connection with your personal investment activities. In any case, you shall not use the OPRA Data in connection with any trade, business, professional or other commercial activities.
 - (c) You are not a “Professional.” For a natural person who works in the United States, a “Professional” is a natural person who is: (i) registered or qualified with the Securities and Exchange Commission, the Commodities Futures Trading Commission, any state securities agency, any securities exchange/association, or any commodities/futures contract market/association, (ii) engaged as an “investment adviser,” as that term is defined in the Investment Advisers Act of 1940 (whether or not registered or qualified under that Act); or (iii) employed by a bank or other organization exempt from registration under Federal and/or state securities laws to perform functions that would require you to be so registered or qualified if you were to perform such functions for an organization not so exempt. For a natural person who works outside of the United States, a “Professional” is a natural person who performs the same functions as someone who would be considered a “Professional” in the United States.
2. You agree to notify Scottrade, Inc. (“Vendor”) promptly if your circumstances change such that any of the statements in Section 1 of this Addendum would no longer be true for you.

By checking the acknowledgement box that becomes active after closing this Addendum, you agree to all of the provisions set forth in this Addendum, including that you are not a “Professional” as defined in 1(c) above.

*The term “qualifying trust” means (a) any irrevocable or revocable trust (1) which has only one trustee, who is a natural person and is not receiving any compensation for acting as trustee and (2) of which the only current beneficiaries are any one or more of the trustee and the immediate family members of the trustee, and (b) any custodial account established under a Uniform Transfers to Minors Act or similar state statute (1) which has only one custodian, who is a natural person and is not receiving any compensation for acting as custodian, and (2) of which the beneficiary is a lineal descendant (a child, grandchild, etc.) of the custodian. A “current beneficiary” is a beneficiary to whom the current income or principal of the trust may or must then be distributed, ignoring the possible exercise of any then unexercised power of appointment. The term “immediate family members” is defined in the footnote to paragraph 1(b) of this Addendum.

**The term “immediate family members” means, with reference to a particular natural person, the spouse of that person, that person’s lineal ancestors (that is, parents, grandparents, etc.) and lineal descendants (that is, children, grandchildren, etc.), and the spouses (including surviving spouses) of that person’s lineal ancestors and lineal descendants. The term includes step and adoptive relationships.