

NFX REQUEST FORM

FOR MORE INFORMATION
PLEASE VISIT OUR WEBPAGE.

PARTICIPANT

FIRM NAME			
MPID		LENGTH: 3-5 CHARACTERS ALPHANUMERICAL	
CONTACT PERSON		CONTACT PHONE	
CONTACT EMAIL			
ENVIRONMENT	<input type="checkbox"/> Test	<input type="checkbox"/> Production	
GENERAL INFORMATION			
TYPE OF PARTICIPANT	<input type="checkbox"/> Clearing Firm	<input type="checkbox"/> Sponsored client	<input type="checkbox"/> Block Broker

Required for non-FCM participants:

CLEARING FIRM NAME			
CLEARING MPID		LENGTH: 3-5 CHARACTERS ALPHANUMERICAL	

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	

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 BO5, firm order book info)		

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	
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ADDITIONAL INFORMATION	
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AUTHORIZATION

AUTHORIZED SIGNATURE		
Date	Signature	Name and Title in print

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 member.

IN CASE OF SIGNATURE BY OTHER PERSONS THAN A DESIGNATED REPRESENTATIVE(S), PLEASE SUBMIT A COPY OF COMPANY CERTIFICATE OR SIMILAR DOCUMENT AUTHORIZING SIGNATURE TOGETHER WITH CERTIFIED COPY(IES) OF OFFICIAL ID (DRIVER'S LICENSE, PASSPORT OR SIMILAR) CONTAINING SIGNATURE SPECIMENS.

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

Please return this completed form to:

NFX Market Operations

EMAIL: NFXOPS@NASDAQ.COM AND

NFXOPS@NASDAQ.COM

PHONE: +1 215-496-5409

ONLY FOR NFX MARKET OPERATIONS RECORD:

SETUP BY	
Date	Signature

VERIFIED BY	
Date	Signature