

## Non-Professional Subscriber Questionnaire

# NASDAQ OMX

All non-professional subscribers of a Distributor or Client Organization must submit this form to NASDAQ OMX to qualify for Non-Professional rates.

### Section 1: Contact Information

<b>Name:</b> _____	
<b>Primary:</b>	<b>Address:</b>
Telephone: _____	Street: _____
Email: _____	_____
	City: _____ Country: _____ Zip: _____

### Section 2: Software/Data Provider Information

Data Provider from which you receive Market Data

Software/Data Provider (Required)	Account #/User I.D. (Optional)	Trader I.D. (If Applicable)
Pro Trader		

*Pro Trader in section two above, refers to data provider View Trade Inc.*

### Section 3: Non-Professional Questions

Questions	Yes	No
1. Are you a Subcontractor or Independent Contractor of the firm listed above?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are you trading using the firm's capital?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are you trading using comingled funds with the firm listed above?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are you a Securities Professional? Are you.... • Registered with any state, federal or international securities agency or self-regulatory body? • Engaged as an Investment Advisor? • Employed by an organization that is exempt from U.S. securities laws that would otherwise require registration?	<input type="checkbox"/>	<input type="checkbox"/>
5. Are you using NASDAQ OMX data for a business, professional or other commercial purpose not compatible with Non-Professional Status?	<input type="checkbox"/>	<input type="checkbox"/>
6. Are you accessing NASDAQ OMX data via a Trading Authorization form or similar document?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are you trading on behalf of the broker/dealer above, or any other proprietary trading group?	<input type="checkbox"/>	<input type="checkbox"/>
8. Is your trading activity related to a corporation, partnership, or similar organization whereby their primary purpose is trade for the benefit of the organization?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do you rent a seat which allows personal trading, i.e. non comingled funds? If yes, please provide the following: Clearing Firm: _____ Clearing Acct#: _____	<input type="checkbox"/>	<input type="checkbox"/>
<b>10. Please tick if all of the above are not applicable to you:</b>		

Name: \_\_\_\_\_ Date: \_\_\_\_\_ Signature: \_\_\_\_\_