

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

Name: _____	
Primary: _____	Address: _____
Telephone: _____	Street: _____
Email: _____	Street: _____
	City: _____ State: _____ Zip: _____

Section 2: Software/Data Provider Information

Please list all of the Data Providers from which you receive Market Data.

	Software/Data Provider (Required)	Account #/User I.D. (Optional)	Trader I.D. (If Applicable)
#1			
#2			
#3			

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.... <ul style="list-style-type: none"> • 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"/>

Name: _____ **Date:** _____

Signature: _____