

Service Facilitator Application

A Service Facilitator is a third party to which a Distributor outsources the responsibility for managing some portion of its technical, financial, legal, or operational role in distributing the Information. Service Facilitators are agents of the Distributor, such as owners or operators of websites displaying the Distributor’s Service, software developers, facilities managers, property managers and providers of other support services. Service Facilitators have no right to use Information outside of the Distributor’s Service.

Please submit a **separate** Service Facilitator Application for each Service Facilitator.

If a particular line item is not applicable, leave blank.

For more information on the Service Facilitation Policy, please refer to the [Service Facilitation Policy](#)

Section 1: Distributor Information

Date of Application:	
Distributor Name:	
Distributor System Name:	
This Application is associated with:	<input type="checkbox"/> A new Agreement <input type="checkbox"/> An update of the existing Agreement

Section 2: Service Facilitator Information

Service Facilitator Name:

Service Facilitator Administrative Contact		Service Facilitator Billing Contact	
<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.		<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.	
First Name	Last Name	First Name	Last Name
Phone Number		Phone Number	
E-mail Address		E-mail Address	
Group E-mail Address (optional)		Group E-mail Address (optional)	
<input type="checkbox"/> Billing Address		<input type="checkbox"/> Billing Address	
Address		Address	

Section 3: Billing, Reporting, Administration Information

Both Distributors and Service Facilitators are to provide the information below. Service Facilitators will only be billed if they become Distributors.

Billing Address

Billable Entity: <input type="checkbox"/> Distributor or <input type="checkbox"/> Service Facilitator	
Street Address	Street Address (P.O. Box Numbers Not Accepted)
City, State, Province, Postal Code	Country

Reporting Information

NASDAQ Account Number		or <input type="checkbox"/> New Invoice
Monthly Summary Reporting	<input type="checkbox"/> Distributor Service Facilitator	<input type="checkbox"/> Nasdaq Online Reporting Application (NORA) Email
Monthly Detailed Reporting (required for datafeed products and external Distributors)	<input type="checkbox"/> Distributor Service Facilitator	<input type="checkbox"/> VRXLS/VRCSV Template

Section 4: Data Feed, Agreement & Display Information

1. Does the Service Facilitator receive a datafeed/ API/uncontrolled stream of data from the Distributor or the Distributor's Group?	<input type="checkbox"/> Yes - Service Facilitator will sign a market data distributor agreement directly with Nasdaq	<input type="checkbox"/> No
2. Does the Distributor agree to be bound by the Service Facilitator Policy as posted in the Nasdaq Data Requirements?	<input type="checkbox"/> Yes	<input type="checkbox"/> No - Service Facilitator will sign a market data distributor agreement directly with Nasdaq
3. Does the Distributor confirm the Service Facilitator Application meets the Nasdaq Display Requirements?	<input type="checkbox"/> Yes - please attach a screenshot	<input type="checkbox"/> Not applicable as (the Service Facilitator will not display data)

Section 5: System Information

Functions

1. Please describe the functions/services the Service Facilitator performs	
2. What entity manages Entitlements (Distributor/ Service Facilitator)?	
3. Entitlement System Details	Name of Entitlement System: Owner of Entitlement System:

Functions

4. What maintains contracts with Downstream Subscribers (Distributor/Service Facilitator)?	
5. What entity controls the Display Software (Distributor/ Service Facilitator)?	
6. Display Software Details	Name of Display Software:
7. Does the service facilitator materially add to, subtract from, or modify the Information received from the distributor? If yes, how?	
8. Please provide a detailed network diagram of the distributor, service facilitator and subscriber relationship (Please Attach)	

The signatories below must be properly authorized to act on behalf of their firm.

Signatories certify that the information provided herein is accurate and complete and that the entities they represent will abide by Nasdaq's Service Facilitation Policy.

Distributor Signature:	
Printed Name:	
Title:	
Date:	

Service Facilitator Signature:	
Printed Name:	
Title:	
Date:	

Nasdaq Receipt and Acceptance

Nasdaq Signature:	
Printed Name:	
Title:	
Date:	

All applicable policy details and documents may be accessed at:

http://nasdaqtrader.com/Trader.aspx?id=GDP_Ops