

Nasdaq Canada Data Declaration Form

This Form provides essential data usage information required by the NASDAQ Canada Agreement and related NASDAQ Canada Distributor/User agreements. For more information and pricing on Canadian Equities please visit the [Nasdaq Canada website](#).

Customer Name (Company Name) – (Required)

(PRINT COMPANY NAME)

TELEPHONE NUMBER

NASDAQ BILLING ACCOUNT NUMBER

CONTACT NAME (PRINT)

EMAIL ADDRESS

DATE

Customer Location – (Required)

The information provided in this section will be used to assess currency and record the billing address for the usage of Nasdaq Canada data. Firms located inside Canada will be billed in CAD. Firms located outside Canada will be billed in USD. Please confirm that the information below is accurate before submitting to Ca.Marketdata@nasdaq.com.

(PRINT STREET ADDRESS)

PROVINCE/STATE

COUNTRY

POSTAL/ZIP CODE

CONTACT NAME (PRINT)

EMAIL ADDRESS

DATE

Please select the box indicating whether the address provided is inside or outside Canada to confirm the currency in which your firm will be billed for the usage of Nasdaq Canada data:

Inside Canada (CAD)

Outside Canada (USD)

Non-Display Information – (Required)

The information provided in this section will be used to assess fees for the usage of Nasdaq Canada data. Please submit this form to Ca.Marketdata@nasdaq.com. Additional detail on Non-Display fees can be found here: <http://www.nasdaqtrader.com/TraderNews.aspx?id=dn2019-1>

Please select the box that identifies whether your firm uses Nasdaq Canada data for Display Usage only or whether any data is used for a Non-Display purpose:

DISPLAY USAGE ONLY	<input type="checkbox"/>
NON-DISPLAY USAGE	<input type="checkbox"/>

If Non-Display has been selected, with or without any associated Display Usage, please continue:

Non-Display Definition

Non-Display is any method of using Nasdaq Information that involves access or use by a machine or automated Device for Trading or Analysis Usage that is not solely used for the display of information to a natural person or persons. Applications are classified as relating to either trading or analysis and the fees apply accordingly.

Rules:

1. The fees for accessing Nasdaq Canada Level 2 data on a Non-Display basis include access to Nasdaq Canada Level 1 data.

2. The fees for accessing Nasdaq Canada data on a Non-Display basis for trading purposes also cover Non-Display usage for analysis purposes.

Trading Usage

Trading Usage is defined as the use of real-time market data in programs or applications which generate orders or order recommendations in an automated manner.

Trading applications include but are not limited to:

- Smart order routers, execution algorithms, arbitrage strategies and market making strategies, workbook software and applications and third party software and applications with auto-quoting/pegging, automated conditional orders, or complex order chain building.

Analysis Usage

Analysis Usage is defined as the use of real-time market data in analysis programs or applications that may lead to or contribute to purchases, sales or other trading decisions.

Analysis applications include but are not limited to:

- Risk management systems, surveillance programs, storing of real-time market data for historical data testing purposes and calculation of derived market data.
- For avoidance of doubt, Analysis Usage includes any access or use by a machine or automated device that is not solely for display to a natural person or persons and is not used for trading purposes.

Nasdaq Canada Non-Display Licenses

Nasdaq Canada CXC Non-Display Licenses	Add
Level 1 CXC	
Nasdaq Canada Level 1 CXC Non-Display Trading	<input type="checkbox"/>
Nasdaq Canada Level 1 CXC Non-Display Analysis	<input type="checkbox"/>
Level 2 CXC	
Nasdaq Canada Level 2 CXC Non-Display Trading	<input type="checkbox"/>
Nasdaq Canada Level 2 CXC Non-Display Analysis	<input type="checkbox"/>
Nasdaq Canada CX2 Non-Display Licenses	Add
Level 1 CX2	
Nasdaq Canada Level 1 CX2 Non-Display Trading	<input type="checkbox"/>
Nasdaq Canada Level 1 CX2 Non-Display Analysis	<input type="checkbox"/>
Level 2 CX2	
Nasdaq Canada Level 2 CX2 Non-Display Trading	<input type="checkbox"/>
Nasdaq Canada Level 2 CX2 Non-Display Analysis	<input type="checkbox"/>

Application Signature

I certify that the information provided on this Nasdaq Canada Data Declaration Form is accurate.

Signature:	
Print Name:	
Title:	
Date:	

Optional:

Signature:	
Print Name:	
Title:	
Date:	

Nasdaq CXC Limited ("Nasdaq") Residence and Registration Certification Form for Harmonized Sales Tax/Goods and Services Sales Tax "HST/GST" – (Required)

A. Non-Resident and Non-Registrant

I, _____ (name and title of authorized individual), certify that

(name and address of company) is not registered under the Excise Tax Act ("ETA") with Canada Revenue Agency ("CRA").

In the event that there is a change to our residence status or should we become registered under the TEA, I hereby agree to advise Nasdaq.

Signature of Authorized Individual

B. Non-Resident and Registrant

I, _____ (name and title of authorized individual), certify that

(name and address of company) is not registered under the Excise Tax Act ("ETA") with Canada Revenue Agency ("CRA").

In the event that there is a change to our residence status or should we deregister from the ETA, I hereby agree to advise Nasdaq.

Signature of Authorized Individual

HST/GST Registration Number

C. Authorization

I, _____ (name and title of authorized individual), have personal knowledge of such matters and am authorized to act on behalf of

(name of company)

Signature of Authorized Individual

Date

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