

2025 – REG SCI BCP/DR Industry Test

Nasdaq Equities And Options Questionnaire

Participant:

Participant Contacts:

PLEASE INDICATE SUCCESSFUL TEST ACTIVITIES FOR EACH MARKET TESTED.

TEST ACTIVITY	EQUITIES			OPTIONS					
	NASDAQ	PSX	BX	PHLX	NOM	BXOP	ISE	GEMX	MRX
Connectivity	☐	☐	☐	☐	☐	☐	☐	☐	☐
Receive Market Data	☐	☐	☐	☐	☐	☐	☐	☐	☐
Participate in Opening	☐	N/A	N/A	☐	☐	☐	☐	☐	☐
Participate in IPO	☐	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Participate in Closing	☐	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Submit order/quote pre-open or post close	☐	☐	☐	☐	☐	☐	☐	☐	☐
Execute Orders/Quotes	☐	☐	☐	☐	☐	☐	☐	☐	☐
Enter Quotes	☐	☐	☐	☐	☐	☐	☐	☐	☐
Enter Simple Order	N/A	N/A	N/A	☐	☐	☐	☐	☐	☐
Enter Complex Order	N/A	N/A	N/A	☐	N/A	N/A	☐	N/A	☐
Enter Auction Order	N/A	N/A	N/A	☐	N/A	☐	☐	☐	☐
Order Routed	☐	☐	☐	☐	☐	☐	☐	☐	☐
Clearing/Settlement	☐	☐	☐	☐	☐	☐	☐	☐	☐

Any additional comments or requests for followup:

Certification

(Participant) certifies that it has participated in Nasdaq's annual Business Continuity and Disaster Recovery Plan test, for each designated Nasdaq market, and completed testing in each above-referenced functional area, as appropriate for the Participant's business model (e.g. market maker or order entry firm).

Name of Authorized Person:

Date: