Nasdaq

Quick Guide

Data-Client Portal Usage Reporting

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Support: DataOps@Nasdaq.com

Introduction

Clients use the Data-Client Portal (Portal) to report usage. Usage reports are submitted within 15 days of the end of each service month. The system sends out reminders when it is past the 15th of the month. It is also listed as an "open task" on the homepage of the portal. For further information on usage reporting obligations, please refer to the Nasdaq Reporting Policy.

This is a Quick Guide for Usage Reporting. For complete instructions, please see the Data-Client Portal Users Guide.

Access to the Data-Client Portal

Nasdaq uses an authentication system called Okta. For complete instructions on setting up your Okta account, please see the Data-Client Portal Access Guide.

If you already use Nasdaq Okta or once you have set up your account, use this link to access the Data-Client Portal. You will be redirected to Okta for authentication and then taken to the Portal home page.

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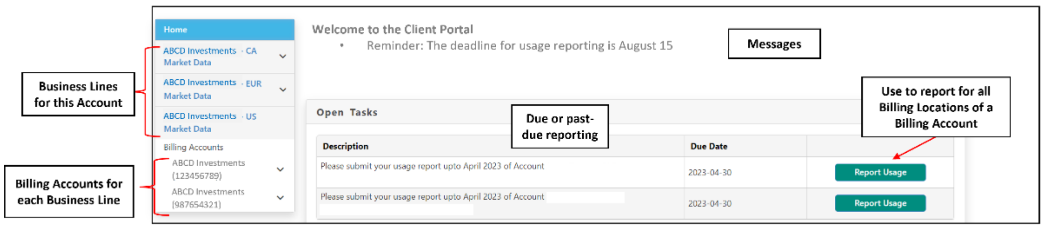
Data-Client Portal Usage Reporting

Overview of the Data-Client Portal

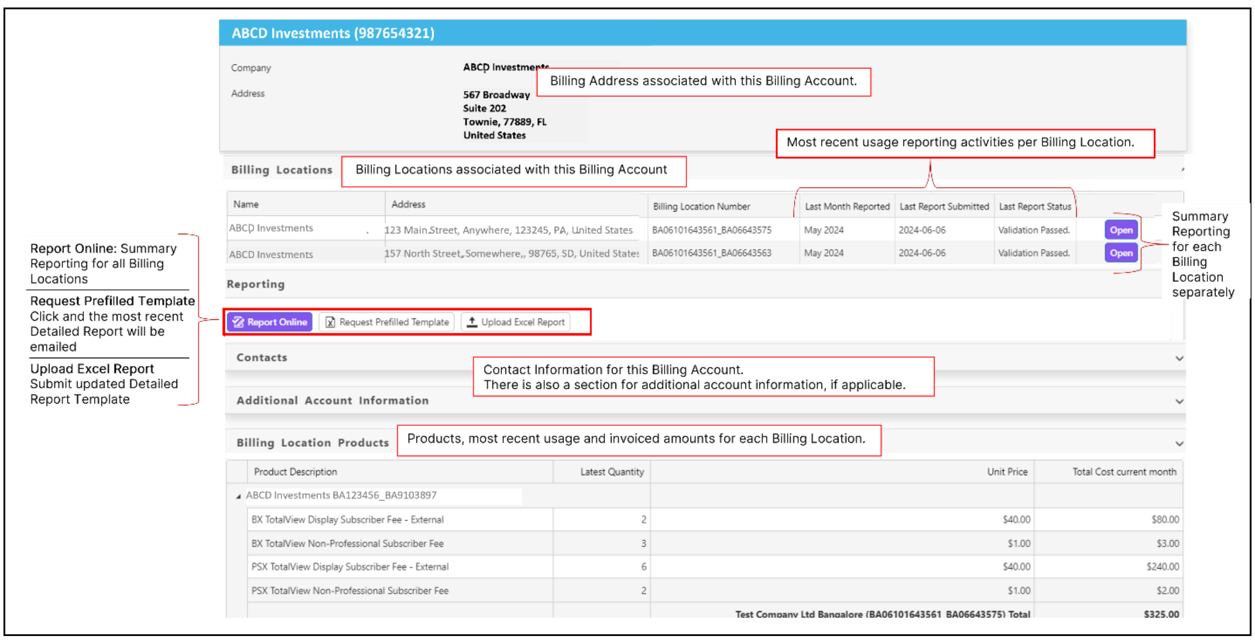
Home Page

When you log in to the portal, you will be on the home page.



Billing Account Page

When you click on a Billing Account from the Home Page, you will be taken to the Billing Account Page. From this page, you can submit your Detailed Reporting and/or Summary Reporting.



How to Report

There are two methods for usage reporting: Summary Reporting or Detailed Reporting using the formatted Nasdaq Excel Detailed Reporting Template. Generally, the system only allows you to use one method for usage reporting, based on Nasdaq Reporting Policy requirements. It is not recommended to upload the template and then enter or change quantities using the Summary tool for the same Billing Location.

Note: Future reporting is not available in the Data-Client Portal.

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Summary Reporting

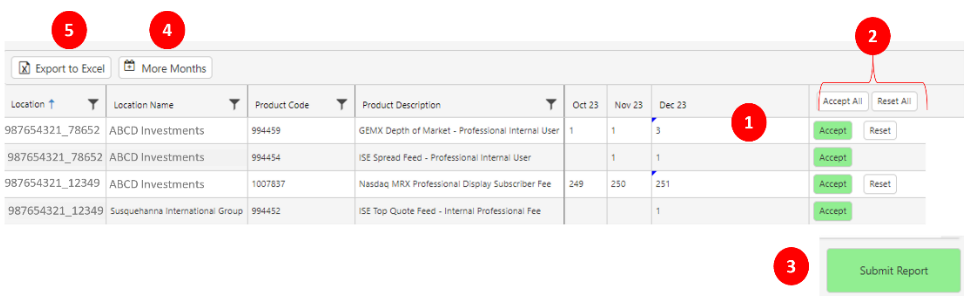
A video demo on how to do Summary Reporting may be viewed here.

Summary Reporting is generally used for: Internal Usage, Non-professionals, Per Query, Nordic/Baltic Delayed.

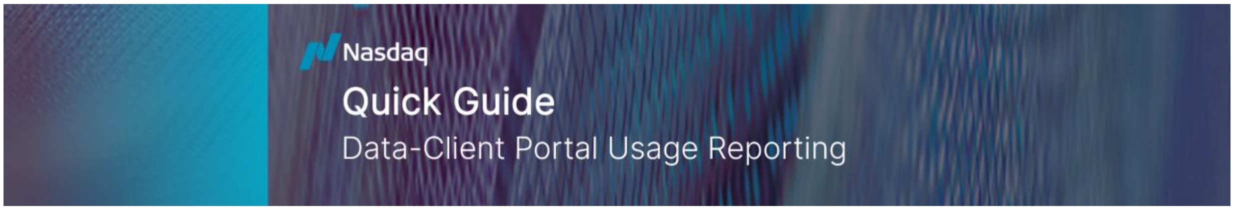
Note: If you submit a Detailed Report for all usage, you may also add these usage categories to the Detailed Reporting Template. Please see Page 5 for further information.

Access Summary Reporting from the Billing Account Page.
Report for each Billing Location individually or all at once. The process is the same.

Entering and Submitting Usage



1. Enter Usage quantities.
2. Accept/Accept All/Reset: "Accept" each row individually or "Accept All" quantities at once. "Reset" quantities individually or all at once.
3. Click Submit Report. A pop-up window will appear. Click "Yes" and OK.
4. More Months to view more than the current reporting month(s). Note: Previous months are only editable if they are within the policy timeframe.
5. Export to Excel to download a copy of reported usage for documentation only.



Detailed Reporting

View two video demos on Detailed Reporting:

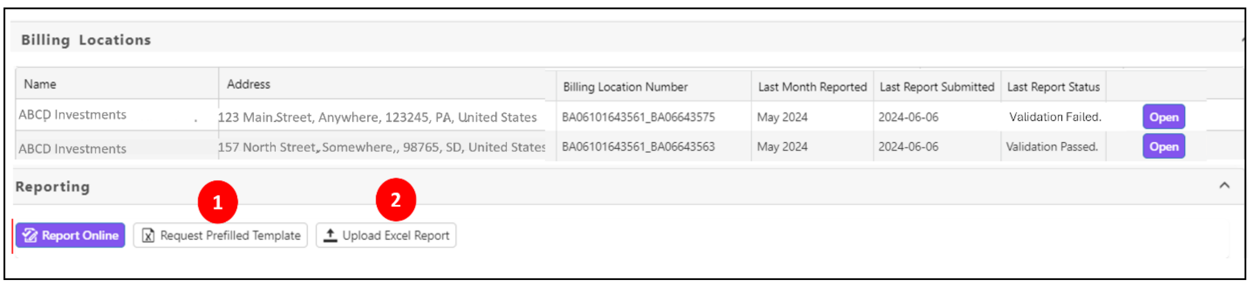
- Detailed Reporting Template
- Submitting the Detailed Report

Detailed Reports are submitted using the formatted Nasdaq Excel Detailed Reporting Template. The template is generally used for External Professional usage reporting. Internal and non-professional reporting may also be added to the template. The template includes all Billing Locations.

Any information related to your detailed reporting (For example: Report processed successfully, Errors) are emailed to you.

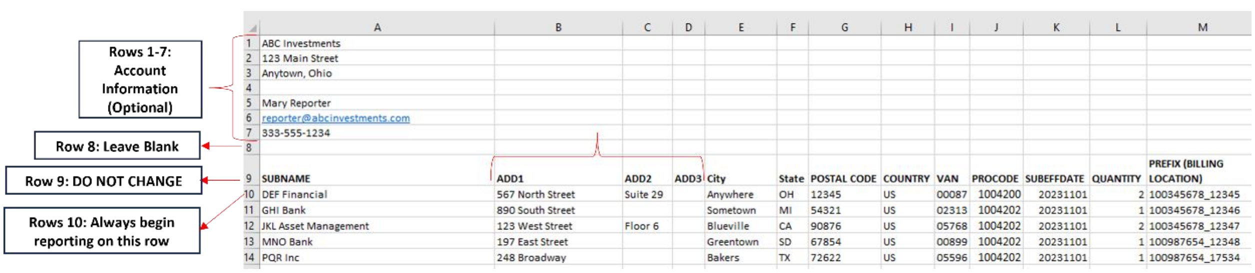
Accessing the Template

From the Billing Account Page: If you have previously submitted a Detailed Report, click on "Request Prefilled Template" (#1). It will be emailed for you to update and upload (#2).



If you have never submitted a Detailed Report, create one using the Nasdaq Excel Detailed Reporting Template. For assistance creating your initial Detailed Report, contact DataOps@Nasdaq.com.

Using the Detailed Report Template



	A	B	C	D	E	F	G	H	I	J	K	L	M
1	ABC Investments												
2	123 Main Street												
3	Anytown, Ohio												
4													
5	Mary Reporter												
6	reporter@abcinvestments.com												
7	333-555-1234												
8													
9	SUBNAME	ADD1	ADD2	ADD3	City	State	POSTAL CODE	COUNTRY	VAN	PROCODE	SUBEFFDATE	QUANTITY	PREFIX (BILLING LOCATION)
10	DEF Financial	567 North Street	Suite 29		Anywhere	OH	12345	US	00087	1004200	20231101	2	100345678_12345
11	GHI Bank	890 South Street			Sometown	MI	54321	US	02313	1004202	20231101	1	100345678_12346
12	JKL Asset Management	123 West Street	Floor 6		Blueville	CA	90876	US	05768	1004202	20231101	2	100345678_12347
13	MNO Bank	197 East Street			Greentown	SD	67854	US	00899	1004202	20231101	1	100987654_12348
14	PQR Inc	248 Broadway			Bakers	TX	72622	US	05596	1004202	20231101	1	100987654_17534

Columns	Headers	Details
A	SUBSCRIBER	Subscriber receiving the data
B-D	SUBSCRIBER ADDRESS	ADD1: Mandatory ADD2 and ADD3: As needed. Note: 64-character limit per cell
E	CITY	Mandatory field. 64-character limit.
F	STATE	Subscriber State or Province
G	POSTAL CODE	

H	COUNTRY	2-Letter Country Code as defined by the ISO . Example: US not USA
I	VAN	Unique Vendor Account Number (VAN) assigned by your firm to Subscriber.
J	PRODUCT CODE	Nasdaq Product Codes are recommended. Distributor-created product codes must be mapped by DataOps@Nasdaq.com
K	EFFECTIVE DATE	Reporting period always starts first day of month. Format: YYYYMMDD Example: July 1, 2024: 20240701
L	QUANTITY	Total product inventory provided for effective date in Column K. Use only whole numbers. Do not use commas.
M	PREFIX (BILLING LOCATION)	System-generated combination of the Billing Account and Billing Location. Listed on the Billing Account page (See page 1)

Adding Additional Usage to the Detailed Report

You may use the detailed report to also submit Internal Usage, Non-professionals, Per Query and/or Nordic/Baltic Delayed. Provide the total number on one line. **Do not list each user separately.**

SUBNAME	ADD1	ADD2	ADD3	City	State	POSTAL CODE	COUNTRY	VAN	PROCODE	SUBEFFDATE	QUANTITY	PREFIX (BILLING LOCATION)
DEF Financial	567 North Street	Suite 29	7th Floor	Anywhere	OH	12345	US	00087	1004200	20231101	2	100345678_12345
GHI Bank	890 South Street			Sometown	MI	54321	US	02313	1004202	20231101	1	100345678_12346
JKL Asset Management	123 West Street	Floor 6		Blueville	CA	90876	US	05768	1004202	20231101	2	100345678_12347
MNO Bank	197 East Street			Greentown	SD	67854	US	00899	1004202	20231101	1	100987654_12348
PQR Inc	248 Broadway			Bakers	TX	72622	US	05596	1004202	20231101	1	100987654_17534
ABC Investments	123 Main Street			Anytown	OH	34512	US	00123	994457	20231101	12	100817161_65123

1. Add additional rows as needed. Do not skip a row.
2. Use your firm's information for Columns A-H
3. Create a unique VAN (Column I)
4. Provide the total quantity (Column L)
5. You can find the Prefix/Billing Location (Column M) on the Billing Account page in the Client Portal. (See Page 2)

Eliminating a Subscriber from the Detailed Report

In the current month's reporting, put a zero (0) for the Quantity. The following month, delete the Subscriber.

SUBNAME	ADD1	ADD2	ADD3	CITY	STATE	POSTAL CODE	COUNTRY	VAN	PROCODE	SUBEFFDATE	QUANTITY	PREFIX (BILLING ACCT_BILLING LOCATION)
Subscriber 1	897 First Ave	Suite 124		Los Angeles	CA	12345	US	902406	907202	20240601	1	100112233_245919
Subscriber 2	898 Second Ave	Floor 7		Chicago	IL	90876	US	902406	907205	20240601	0	10014433_245920
Subscriber 3	899 Third Blvd			London	GB	123098	GB	902406	907208	20240601	3	100133221_245921
Subscriber 4	900 Main Street	Floor 18		Sao Paulo	SP	10234	BR	67474	907202	20240601	7	1001765_245922
Subscriber 5	901 Ming St	Suite 75		Kwai Chung		546546	HK	67474	907205	20240601	3	1002467_245923
Subscriber 6	902 Bird Drive	Suite 201		Toronto	ON	M6K 1G2	CA	67474	907208	20240601	6	1009653_245924

Making Changes/Corrections: Current Month

To make a correction or change on a submitted report, make the correction and upload the entire report again. It is not recommended to use the Summary Report to make these changes.

Making Changes/Corrections or Submitting for Previous Months

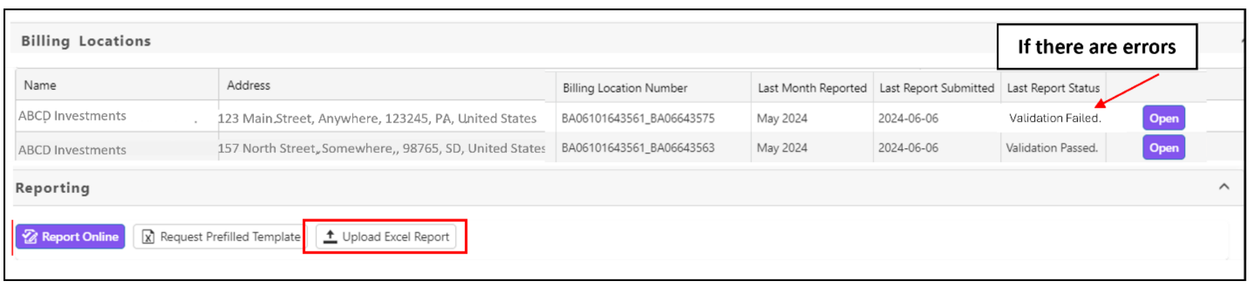
If you did not report for previous months or want to make a correction to previous reporting, add that reporting data to the end of the current report. Note: These changes must be made with adherence to the Nasdaq Reporting Policy. For assistance, contact DataOps@Nasdaq.com.

1. Copy reporting data for current month.
2. Go to a blank row in the worksheet and paste the data.
3. Change the date to the previous month you are reporting. (Column K)
4. Add or update the quantity (Column L)
5. Save and upload the report.

SUBNAME	ADD1	ADD2	ADD3	City	State	POSTAL CODE	COUNTRY	VAN	PROCODE	SUBEFFDATE	QUANTITY	PREFIX (BILLING LOCATION)
DEF Financial	567 North Street	Suite 29	7th Floor	Anywhere	OH	12345	US	00087	1004200	20231101	2	100345678_12345
GHI Bank	890 South Street			Sometown	MI	54321	US	02313	1004202	20231101	1	100345678_12346
JKL Asset Management	123 West Street	Floor 6		Blueville	CA	90876	US	05768	1004202	20231101	2	100345678_12347
MNO Bank	197 East Street			Greentown	SD	67854	US	00899	1004202	20231101	1	100987654_12348
PQR Inc	248 Broadway			Bakers	TX	72622	US	05596	1004202	20231101	1	100987654_17534
ABC Investments	123 Main Street			Anytown	OH	34512	US	00123	994457	20231101	12	100817161_65123
DEF Financial	567 North Street	Suite 29		Anywhere	OH	12345	US	00087	1004200	20231001	2	100345678_12345
GHI Bank	890 South Street			Sometown	MI	54321	US	02313	1004202	20231001	1	100345678_12346

Column K:
Change Date if reporting for previous period

Submitting the Detailed Report Template



1. "Save As" the file to the current month (YYYYMM). It should also be saved as .xlsx. A common format includes the Distributor ID. Example: ABCI_202310_Nasdaq.xlsx
2. From the Billing Account screen, click on "Upload Excel Report."
3. Select the updated template from your computer.

You will receive a confirmation email that the report was received and processed. On the Billing Account screen, you'll find Information on the most recent usage reporting activities. (Please note: You may need to refresh this screen to see the updated Reported status.)

If there are errors, you will receive email messages explaining the error(s). The Last Report Status in the above screenshot will change to Validation Failed. After correcting the error, you must contact DataOps@Nasdaq.com for a reset prior to resubmitting the template. You will receive an email when the account has been reset. You may then submit the corrected report. Please see the Error Troubleshooting Guide for the most common errors.

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