

Exhibit A – NYSE /Alternext OpenBook

Thank you for your interest in NYSE / Alternext OpenBook data. This questionnaire is intended to simplify user application requirements while furnishing customers and data providers (aka “vendors”) with the information needed to sanction the release of market data. Please follow the instructions below and answer all questions accurately and thoroughly to ensure timely processing of your market data request(s).

Customers need to complete a separate questionnaire for each market data source. One questionnaire may include several sites provided each site operates on the same network, utilizes a single market data vendor source and is clearly identified. If more than one location/environment exists with different levels or controls, a separate questionnaire must be completed for that location.

All customers and vendors who wish to receive market data via an uncontrolled data feed are required to complete and submit this Exhibit A. In addition, NYSE requires:

1. Executed copy of the Vendor Agreement (if currently not on file)
2. Network Diagram Overview
3. Executed copy of the Exhibit C for OpenBook
4. Screen prints demonstrating the use and/or display of NYSE / Alternext OpenBook data
5. An OpenBook data feed request submitted by your vendor to NYSE on your behalf

Be sure all names and dates are consistent across all documents/contracts. All documents/contracts can be found on our website, www.nyxdata.com. All required documents should be executed and returned to your account manager or:

NYSE Group, Inc.
Attn: Market Data Services
11 Wall Street - 17th Floor
New York, NY 10005
Fax (212) 656-5922

Exhibit A to the Vendor Agreement for Receipt and Use of Market Data dated

between New York Stock Exchange, Inc. and

(name of organization)

SECTION 1 - Data Source and Location(s)

1. Method of Access, Source and Type of Data (check all that apply)

Method of Access	Vendor Information
<input type="checkbox"/> Direct from NYSE (SIAC/SFTI)	Vendor Name: _____
<input type="checkbox"/> Indirect through a Vendor (Third Party)	Vendor Service: _____
	Vendor Account Number: _____

Type of Data	NYSE	Alternext
Real-time OpenBook	<input type="checkbox"/>	<input type="checkbox"/>
OpenBook Ultra	<input type="checkbox"/>	<input type="checkbox"/>
Order Imbalances	<input type="checkbox"/>	
Best Quotes	<input type="checkbox"/>	

2. Data feed Installation and Redistribution

A. Please enter the location(s) where the OpenBook data feed will be installed and any additional locations (branch office, subsidiary, disaster/backup site, etc.) where the data will be redistributed. **Be sure to include the total number of devices initially entitled with data at each location.**

B. Will the data be used exclusively for a contingency or disaster recovery site? Yes No

Installation Address:	Relationship (HQ, Data Ctr, Backup)	# of NYSE Devices	# of Alternext Devices

Additional Location(s):	Relationship (HQ, Data Ctr, Backup)	# of NYSE Devices	# of Alternext Devices

SECTION 2 - Use of OpenBook Data

1. How do you intend to use OpenBook data?

Display Service

INTERNALLY (to employees)

EXTERNALLY (to non-employees)

Datafeed Service (external redistribution only)

2. Additional Usage (software development, API's, etc.)

- A. Will you offer an API (Application Programming Interface) or DDE (Dynamic Data Exchange) link as part of your display service? Yes No

If yes, please explain:

- B. Will your display service be compatible with third party software (i.e. Order Management System, etc.)? Yes No

If yes, please explain:

- C. Will the data from a display service be re-distributed to additional servers, which in turn, can redistribute or “fan” data to various users, servers and/or devices? Yes No

If yes, please explain:

3. Service Facilitators

- A. Provide the name(s) and address of each service facilitator that you wish to identify. Describe the functions performed on your behalf by each service facilitator in the processing or dissemination of market data. (A service facilitator is a person or organization that assists customer(s) in processing or disseminating market data, such as cablecasters, facility proprietors, equipment maintainers, switch service suppliers, sales/marketing agents, etc.) – If more space is needed, please attach a separate sheet.

NOTE: Service Facilitators may not be exempt from the OpenBook monthly access fee.

Facilitator (include full name & address)	Function

- B. Will any service facilitator have access to this data? Yes No

If yes, please explain:

4. Customer Affiliates

- A. Provide the name(s) and address of each customer affiliate, which is to be covered by this agreement. You will be responsible for reporting and payment for any affiliates covered by this Exhibit A.

Affiliates (include full name & address)	Function

- B. Will any customer affiliate have access to this data? Yes No

If yes, please explain:

SECTION 3 - Technical Control & Reporting

**** This section is required and must be completed and approved by NYSE prior to receiving a OpenBook datafeed**

1. Technical and Administrative Control

NYSE has a device-based rate structures and requires data recipients to account for all devices that have been technically enabled to display their data. To ensure the number of users with access to OpenBook data (via displays and/or data feeds) being reported each month is accurate, NYSE requires firms to have an entitlement system in place.

- A. Does your firm have the technical ability to control each entitlement to OpenBook data?
Data feeds Yes No N/A **Display Service** Yes No N/A

Name of Entitlement System: _____

Product Name / Version: _____

- B. Is this a Proprietary System? Yes No N/A

If yes, please explain the systems functionality and its ability to produce reports. **Please include as much detail as possible and attach a sample report for review (attach a separate sheet if necessary).**

- C. Please explain the dataflow between your permissioning and reporting databases:

NOTE: All firms receiving a datafeed are subject to an audit of their entitlement reporting methods. Unless the entitlement system is able to provide accurate historical/audit information, NYSE reserves the right to bill for all devices on your network. For audit purposes, all entitlement systems should have the ability to generate and store entitlement reports for a period of no less than three years and perform the following:

- i. Each user must have a separate and unique ID/Password which is not shared
- ii. Prevent simultaneous access to the data by the same user ID/Password
- iii. Generate monthly entitlement reports for each product to identify those users who are entitled and those that are not entitled to receive a specific data providers' market data
- iv. Provide an audit trail identifying each entitlement transaction (additions, deletions, etc.)

- D. Does your system have the ability to perform all of the above? Yes No

If no, please explain:

- E. How are device entitlements controlled?

Terminal ID basis Yes No

User ID / Password Basis Yes No

Other (explain) Yes No If yes, explain: _____

- F. Location where entitlement control will take place (if different than install address)?

2. Distribution of OpenBook Data (Internal Customers only)

- A. Will OpenBook data be distributed over a local area network (LAN) or a wide area network (WAN)? Yes No
- B. Please indicate the total number of devices presently on the network (include all devices whether or not they will be receiving real-time data). _____

3. Network/System Diagram

Attach an overview Diagram of your network system. The diagram should identify all internal sub-networks attached to the system and provide a high level overview of each network utilizing market data (be as specific and detailed as possible). ***Each site location should be included, indicating where data is received (including end users) and where entitlement control takes place.***

Check here to acknowledge you have submitted a Network Diagram

4. Reporting Obligations

The NYSE requires customers/vendors to submit monthly, a total inventory of products and professional subscribers utilizing NYSE OpenBook data. This report is required to ensure accurate invoicing by NYSE either directly to you or your client.

Please check the box(es) corresponding to reporting requirements applicable to your use of the data:

- INTERNAL Users (Employees)**
Any organization providing OpenBook data to their employees are required to report the number of users on a monthly basis. In addition, NYSE requires them to maintain records indicating the company name, installation address, number of accesses, inventory changes, type of service and the date that service began/terminated.
- PROFESSIONAL Subscriber (Non-employee) Reporting**
Vendors providing OpenBook data to professional subscribers will be required to obtain NYSE approval, maintain records indicating the company name, installation address, number of accesses, inventory changes, type of service and the date that service began/terminated.
** NYSE will use this information to invoice subscribers directly.*
- DATAFEEDS**
Vendors providing data feeds will be required to obtain approval from NYSE prior to providing data to subscribers. Vendors will be required to maintain records indicating the company name, installation address and date that service began/terminated.

5. Reporting Method

Please select the method of reporting you will use:

- NYSE Reporting Website**
Report directly on the NYSE website (www.nyxdata.com/reporting).
** This option is highly recommended for all vendors who do not have a large professional subscriber base.*
- File-based Reporting**
Report to NYSE via file based reporting - VRXML file (www.vrxml.org - select Vendor Services, VRXML specs)
- Third Party Reporting Facilitator**

Explain:

SECTION 4 - Contact Information

Customer/subscriber must provide contact information for at least one **MAIN**, one **BILLING**, one **COMPLIANCE**, and one **REPORTING** contact for the purposes of addressing any appropriate notification. If any type of market data is to be received through direct access to any data provider's facilities, technical and emergency contact(s) should be designated.

Main: <input type="checkbox"/> Billing: <input type="checkbox"/> Compliance: <input type="checkbox"/> Reporting: <input type="checkbox"/> Technical: <input type="checkbox"/> Other (specify): _____	First Name _____ Last Name _____ Title _____ Phone _____ Facsimile _____ E-mail _____ Address where contact is located <input type="checkbox"/> Installation <input type="checkbox"/> Billing <input type="checkbox"/> Other (please specify) Street Address _____ City _____ State _____ Province _____ Country _____ Postal Code _____
Main: <input type="checkbox"/> Billing: <input type="checkbox"/> Compliance: <input type="checkbox"/> Reporting: <input type="checkbox"/> Technical: <input type="checkbox"/> Other (specify): _____	First Name _____ Last Name _____ Title _____ Phone _____ Facsimile _____ E-mail _____ Address where contact is located <input type="checkbox"/> Installation <input type="checkbox"/> Billing <input type="checkbox"/> Other (please specify) Street Address _____ City _____ State _____ Province _____ Country _____ Postal Code _____
Main: <input type="checkbox"/> Billing: <input type="checkbox"/> Compliance: <input type="checkbox"/> Reporting: <input type="checkbox"/> Technical: <input type="checkbox"/> Other (specify): _____	First Name _____ Last Name _____ Title _____ Phone _____ Facsimile _____ E-mail _____ Address where contact is located <input type="checkbox"/> Installation <input type="checkbox"/> Billing <input type="checkbox"/> Other (please specify) Street Address _____ City _____ State _____ Province _____ Country _____ Postal Code _____

Subscriber Approval Contact (only if you plan to provide data to Professional Subscribers via displays and/or datafeeds)

First Name _____ Last Name _____ Title _____ Phone _____ Facsimile _____ E-mail _____ Address where contact is located <input type="checkbox"/> Installation <input type="checkbox"/> Billing <input type="checkbox"/> Other (please specify) Street Address _____ City _____ State _____ Province _____ Country _____ Postal Code _____
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I certify that the information provided in this questionnaire is accurate and understand that I may be asked to provide further information related to the entitlement system and/or its audit function. I also understand that failure to comply with NYSE requirements may result in the cancellation/termination of NYSE OpenBook data and NYSE reserves the right to bill retroactively for any improprieties/discrepancies which are deemed non-compliant.

Signature: _____

Title: _____

Print Name: _____

Date Completed: _____