

2021 – 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Receive Market Data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Participate in Opening	<input type="checkbox"/>	N/A	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Participate in IPO	<input type="checkbox"/>	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Participate in Closing Cross	<input type="checkbox"/>	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Submit order/quote pre-open or post-close	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Execute Orders/Quotes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enter Quotes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enter Simple Order	N/A	N/A	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enter Complex Order	N/A	N/A	N/A	<input type="checkbox"/>	N/A	N/A	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Enter Auction Order	N/A	N/A	N/A	<input type="checkbox"/>	N/A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Order Routed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clearing/Settlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Any additional comments or requests for follow-ups:

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: