

Non-Display Use of CTA/CQ Market Data- Customer Declaration

This declaration requires (“Customer”) to specify all Non-Display Use made of real-time Network A and Network B last sale information and quotation information made available under the CTA Plan and the CQ Plan (“CTA Market Data”).

1. CUSTOMER DETAIL

Account Details

Company Name		Account Number	
Last Name	First Name	(Middle)	
Email Address		Phone	
Address	City	State/Zip	Country

2. CUSTOMER USAGE

- CTA Market Data is used for both Non-Display Use and other purposes
- CTA Market Data is NOT used for Non-Display Use

3. DECLARATION OF NON-DISPLAY USE

Where appropriate, customers are to identify and confirm their Non-Display Use of real-time CTA Market Data. Non-Display Use is broken down to three (3) categories:

- Category 1**
Fees are applicable when a data recipient’s Non-Display Use of CTA Market Data is on its own behalf.
- Category 2**
Fees are applicable when a data recipient’s Non-Display Use of CTA Market Data is on behalf of its clients.
- Category 3**
Fees are applicable when a data recipient’s Non-Display Use of CTA Market Data is, in whole or in part, for the purpose of internally matching buy and sell orders within an organization. Matching buy and sell orders includes matching customer orders on a data recipient’s own behalf and/or on behalf of its clients. This category includes, but is not restricted to, use in trading platform(s), such as exchanges, alternative trading systems (ATSs), broker crossing networks, broker crossing systems not filed as ATSs, dark pools, multilateral trading facilities, and systematic internalization systems.

Examples of Non-Display Use under the 3 categories are, without limitation

- Any trading in any asset class
- Automated order or quote generation and/or order pegging
- Price referencing for algorithmic trading
- Price referencing for smart order routing
- Operations control programs
- Investment analysis
- Order verification
- Surveillance programs
- Compliance and Risk management
- Portfolio Valuation

Please select each category of Non-Display Use of CTA Market Data Products applies to your firm

Non-Display Category	CTA Network A Bid-Asked	CTA Network A Last Sale	CTA Network B Bid-Asked	CTA Network B Last Sale
Category 1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Category 2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Category 3*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**If you selected Category 3 –Platform, please list your Platforms below:*

Number of Platforms:	
Platform Name:	
Platform Name:	
Platform Name:	
Platform Name:	

Please select each of the CTA Market Data Products not used by your firm for Non-Display purposes

No Non-Display Use	CTA Network A Bid-Asked	CTA Network A Last Sale	CTA Network B Bid-Asked	CTA Network B Last Sale
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If No Non-Display, please explain:				

4. ACCEPTANCE

Customer undertakes to promptly inform the New York Stock Exchange LLC (“NYSE”) of any changes to the information given above.

Customer agrees that the charges applicable to the above mentioned Non-Display Use activity shall be billed by NYSE directly to the Customer and paid by the Customer directly to NYSE.

Any request by Customer for repayment of overpaid Non-Display Use fees, based on an inaccurate Customer Declaration, must be made within three (3) calendar months after the date that this Declaration is signed. Customer is only entitled to credits within that three month period.

Company _____ Signature _____ Signature Date _____

Name _____ Title _____

FOR NYSE USE ONLY

Declaration Effective Date