



## Exhibit A - Historical Use of Real-Time NYSE Proprietary Data

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All Customers who wish to license for NYSE Historical Use of Real-Time Market Data are required to complete and submit this Exhibit A. In addition, NYSE requires an executed copy of the Vendor Agreement **(if currently not on file)**

All required documents should be executed and returned to your account manager.

### **Policy**

The Historical Use of Real-Time NYSE Proprietary Data Products policy can be found under Policy Documentation.

[nyse.com/market-data/pricing-policies-contracts-guidelines](https://nyse.com/market-data/pricing-policies-contracts-guidelines)

**Exhibit A to the Vendor Agreement for receipt and use of  
CONSOLIDATED NETWORK A DATA AND NYSE MARKET DATA dated**

(Insert date of Vendor Agreement)

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**Between New York Stock Exchange LLC and**

(Insert Name of Organization)

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**NYSE Account Number:** \_\_\_\_\_ (if known)

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**SECTION I - Contact Information**

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Please provide contact information for at least one **MAIN**, one **BILLING**, and one **REPORTING** contact for the purposes of addressing any appropriate notification.

| Main Contact          |                        |
|-----------------------|------------------------|
| <b>Company Name</b>   |                        |
| <b>First Name</b>     | <b>Last Name</b>       |
| <b>Phone</b>          | <b>Email</b>           |
| <b>Street Address</b> | <b>City</b>            |
| <b>State</b>          | <b>Zip/Postal code</b> |

| Billing Contact                                       |                        |
|---|------------------------|
| <b>First Name</b>                                     | <b>Last Name</b>       |
| <b>Phone</b>  | <b>Email</b>           |
| Address same as Main Contact <input type="checkbox"/> |                        |
| <b>Street Address</b>                                 | <b>City</b>            |
| <b>State</b>  | <b>Zip/Postal code</b> |

| Reporting Contact                                     |                        |
|---|------------------------|
| <b>First Name</b>                                     | <b>Last Name</b>       |
| <b>Phone</b>  | <b>Email</b>           |
| Address same as Main Contact <input type="checkbox"/> |                        |
| <b>Street Address</b>                                 | <b>City</b>            |
| <b>State</b>  | <b>Zip/Postal code</b> |

## SECTION II - Use of Historical Real-Time NYSE Proprietary Data

|                                       |  |
|---------------------------------------|--|
|                                       | Please provide your current Market Data Provider (if applicable) |
| <b>Real-time Market Data Provider</b> |  |

| Please make your product selection(s) below |                          | External Usage           |                          |  | Subscriber Usage  |                                |
|---|--------------------------|--------------------------|--------------------------|--|---|--------------------------------|
|   |                          | Data feed                | Display Usage            |  | One-Time Purchase<br>Data for Specific Date Range<br>(Available in Monthly Intervals) |                                |
|   |                          |                          | Professional Subscriber  | Non-Professional<br>Requires Exhibit B |   |                                |
| US EQUITIES                                 | Internal Usage           |                          |                          |  |   |                                |
| <b>NYSE</b>                                 |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| Integrated Feed                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| OpenBook                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| BBO   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Trades                                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Order Imbalances                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>NYSE ARCA</b>                            |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| Arca Integrated Feed                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| ArcaBook                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Arca BBO                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Arca Trades                                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Arca Order Imbalances                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>NYSE American</b>                        |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| American Integrated Feed                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| American OpenBook                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| American BBO                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| American Trades                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| American Order Imbalances                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>US OPTIONS</b>                           |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| American Options                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| American Options Complex Order Book         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Arca Options                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| Arca Options Complex Order Book             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>US INDICES</b>                           |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| NYSE Global Index Feed                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>GLOBAL OTC</b>                           |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| OTC - BBO                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| OTC - Integrated Feed                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>QUOTES &amp; TRADES (BQT)</b>            |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| Best Quotes and Trades                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| <b>QUOTES &amp; TRADES (BQT)</b>            |                          |                          |                          |  |   | From: Month/Year to Month/Year |
| National Integrated                         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| National BBO                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |
| National Trades                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>               | <input type="checkbox"/>  | MM/YYYY to MM/YYYY             |

**For External Redistributors of Historical Use Real-Time Market Data**

In the space below, please provide a detailed description of the services you plan to offer to your External Subscribers

**SECTION III – Service Facilitators and Customer Affiliates**

**1. Service Facilitators**

A Service Facilitator is a person or organization that assists the customer(s) in processing or disseminating market data. Provide the name(s) and address of each service facilitator and describe the functions performed on your behalf by each service facilitator.

Not Applicable

| Facilitators (include Full Name & Address) | Function |
|--|----------|
| Enter Full Name & Address                  |          |

Will any service facilitator(s) have access to this data?  Yes  No

If Yes, please explain:

**2. Customer Affiliates**

Provide the name(s) and address of each customer affiliate to be covered by this agreement. You will be responsible for reporting and payment for any affiliates covered by this Exhibit A. If more space is needed, please attach a separate sheet.

Not Applicable

| Affiliates (include Full Legal Name & Address) | Function |
|--|----------|
| Enter Full Legal Name & Address                |          |

Will any customer affiliate(s) have access to this data?  Yes  No

If Yes, please explain the controlling relationship between the entities:

## Entitlement & Reporting Obligations

For External Redistributors of data:

1. NYSE requires Customers to have an entitlement control system in place that can generate a monthly entitlement report. For more information, please see [NYSE Entitlement Control Policy](#).
2. NYSE requires Customers to submit inventory reports for the services/products whose entitlement they control. This report should be submitted to NYSE each month.
3. Customers with Subscribers that are already reported as being in receipt of a real-time product do not need to report them as Historical Use Subscribers. For example, if a Customer's Subscriber is in receipt of a display device for real-time Openbook and Historical Use Openbook, then that Customer only reports the receipt of real-time Openbook. However, if Historical Openbook for a display device is the only data received by the Subscriber, then that Customer is required to report the Historical Use of Openbook data.

## Certification

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Customer acknowledges that NYSE may be subject to internal policies, laws and regulations that govern and restrict the collection, storage, processing, disclosure or use of any information that identifies or can be used to identify, contact or precisely locate the person or legal entity to whom such information pertains or from which identification or contact information of an individual person or legal entity can be derived ("Personal Information"), including, but not limited to, any Personal Information relating to the Customer, Customer's Affiliates and each of their respective customers, suppliers and personnel. NYSE's Privacy Policy is located here: <https://www.intercontinentalexchange.com/privacy-policy>. Where the Customer is incorporated in any member state of the European Economic Area, Customer acknowledges and agrees that certain additional terms and conditions set out in NYSE's Privacy Policy and other documents in connection with the collection, storage, processing, disclosure, access, review and/or use of such Personal Information are applicable to the Vendor Agreement and Exhibit A. Specifically with respect to Customers who provide EU Personal Information to NYSE, the Additional Terms located here: [https://www.theice.com/publicdocs/Additional\\_Terms\\_EU\\_Subscribers.pdf](https://www.theice.com/publicdocs/Additional_Terms_EU_Subscribers.pdf) shall be incorporated into and form part of this Exhibit A and, in the event of conflict with any other terms of the Vendor Agreement or Exhibit A, shall prevail over such terms.

I certify that the information provided in this Exhibit is accurate and the data will only be used in the manner outlined. I also understand that failure to comply with NYSE requirements may result in the cancellation/termination of NYSE market data services and NYSE reserves the right to bill retroactively for any improprieties/discrepancies which are deemed non-compliant.

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_