



## Exhibit A – NYSE MISU

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Thank you for your interest in the **NYSE MISU (Multiple Installations for Single User) Program**. Please follow the instructions below and answer all questions accurately and thoroughly to ensure timely processing of your market data request(s).

***All customers and vendors who wish to participate in the NYSE MISU Program are required to complete and submit this Exhibit A. In addition, NYSE requires:***

1. A signed copy of the NYSE Vendor Agreement (if currently not on file)
2. A Network Diagram overview
3. A sample MISU File

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

New York Stock Exchange LLC  
Attn: Market Data Services  
11 Wall Street, 15<sup>th</sup> Floor  
New York, NY 10005  
Fax (212) 656-5922

**New York Stock Exchange LLC**  
**MISU Control Questionnaire – Exhibit A**

**To the Vendor Agreement for Receipt and Use of Market Data**

**Dated:** \_\_\_\_\_

**Subscriber Information:**

NYSE Account Number (as it appears on invoice): \_\_\_\_\_

Account Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State/Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

**1. Contact Name and Address**

Customer/Subscriber must provide contact information for at least one MAIN contact, one COMPLIANCE contact and one REPORTING contact. Additional contacts may be listed by reproducing this page.

<input type="checkbox"/> Main: <input type="checkbox"/> Compliance: <input type="checkbox"/> Reporting: <input type="checkbox"/> Technical: <input type="checkbox"/> Other (specify): _____	<div style="display: flex; justify-content: space-between;"><div>First Name _____</div><div>Last Name _____</div><div>Title _____</div></div> <div style="display: flex; justify-content: space-between;"><div>Phone _____</div><div>Facsimile _____</div><div>E-mail _____</div></div> <div style="display: flex; justify-content: space-between;"><div>Address where contact is located <input type="checkbox"/> Installation <input type="checkbox"/> Billing <input type="checkbox"/> Other (please specify)</div><div></div></div> <div style="display: flex; justify-content: space-between;"><div>Street Address _____</div><div>City _____</div><div>State _____</div></div> <div style="display: flex; justify-content: space-between;"><div>Province _____</div><div>Country _____</div><div>Postal Code _____</div></div>
<input type="checkbox"/> Main: <input type="checkbox"/> Compliance: <input type="checkbox"/> Reporting: <input type="checkbox"/> Technical: <input type="checkbox"/> Other (specify): _____	<div style="display: flex; justify-content: space-between;"><div>First Name _____</div><div>Last Name _____</div><div>Title _____</div></div> <div style="display: flex; justify-content: space-between;"><div>Phone _____</div><div>Facsimile _____</div><div>E-mail _____</div></div> <div style="display: flex; justify-content: space-between;"><div>Address where contact is located <input type="checkbox"/> Installation <input type="checkbox"/> Billing <input type="checkbox"/> Other (please specify)</div><div></div></div> <div style="display: flex; justify-content: space-between;"><div>Street Address _____</div><div>City _____</div><div>State _____</div></div> <div style="display: flex; justify-content: space-between;"><div>Province _____</div><div>Country _____</div><div>Postal Code _____</div></div>
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**2. Network Overview**

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 (if applicable).

☐ Check here to acknowledge you have submitted a Network Diagram

### 3. Locations to be covered by MISU

For each location to be covered under this arrangement, please provide complete street address, vendor account number and number of devices entitled with CTA Network A and/or CTA Network B market data for each. Locations with multiple vendor services at the same street address must be listed individually. Additional locations may be added on a separate sheet(s).

Location Address (including city, state/province, postal code and country)	Vendor Account Number (VAN)	# of devices receiving CTA Network A data.	# of devices receiving CTA Network B data.	Method of Input
1.				
2.				
3.				

### 4. Network Administration and the MISU Report

In order to qualify for the MISU program, firms are required to submit--on a monthly basis--a report which shows real-time data entitlements for each user at each location on a vendor-by-vendor basis.

A. Does your firm have the ability to produce a report for each location which shows the number of CTA Network A and/or CTA Network B entitled devices (by vendor) on a user-by-user basis? (A sample report should be included).

☐ Yes ☐ No

B. Will a database be used to store user information and the applications/data to which they are entitled?

☐ Yes ☐ No

C. If yes, what type of database (e.g., Excel, proprietary, third party) will be used? How does it function?

Please Explain

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D. If a database is used, where does the end user and vendor information noted in the report originate? And, how does this information enter the database (e.g., manually by reconciling vendor invoices, electronically via a file upload, etc.)?

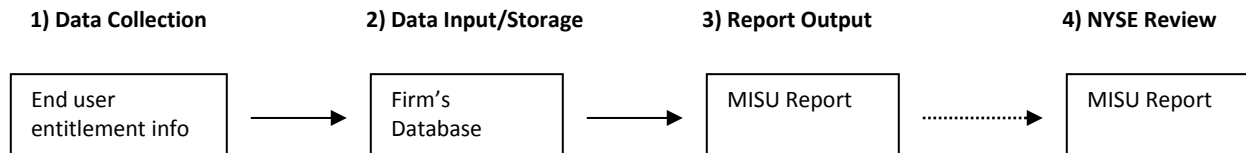
Please Explain

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E. How is the MISU report generated?

Please Explain

#### Phases of MISU:



**Note:** Firms need to explain how each phase is accomplished. Please include information on how data is collected, how information is entered into the database, what type of database is used, how the MISU report is generated, etc. Provide as much detail as possible and attach a separate sheet if necessary.

NYSE will reconcile the MISU report against vendor reporting to determine number of credits.

#### 5. Reporting / MISU credits

Customers who have been approved to participate in the MISU program are required to submit a monthly report to their NYSE account manager. The report should be submitted via e-mail in the form of an Excel spreadsheet. NYSE will reconcile the MISU report against vendor reporting and review it for accuracy. Upon completion of the review, the appropriate dollar credit adjustment will be applied and should be reflected on the next invoice. *NYSE has sole discretion over the number of MISU credits issued for each location.*

##### The following applies to all MISU arrangements:

- Firms can only submit MISU reports for locations directly corresponding with vendor reporting.
- A MISU report of users and entitled vendor devices must be submitted monthly showing the total number of devices per MISU location. ***Reports should be in exact format as suggested by NYSE (see MISU FAQ).***
- Reports must be submitted by the 20<sup>th</sup> of each month. ***Reports submitted after this date will not be accepted and any credits will be forfeited.***
- No MISU credits will be issued for a location until the Vendor's monthly reporting for that location reconciles with the firm's MISU report for that same location. ***Any discrepancies must be addressed by the firm directly with the vendor, and adjustments will not be issued until the discrepancy is resolved.***
- Vendor Account Numbers (VAN's) corresponding to MISU locations must be included in the MISU report.
- Firm employees with a single, billable device (at each MISU location) **must** be included in the report.
- MISU adjustments will not be issued retroactively for late or non-reporting.
- MISU adjustments apply only to those devices receiving CTA Network A and/or CTA Network B

#### 6. Audit Requirements

The purpose of the audit is to certify and ensure each phase of the MISU process (e.g., collection of end user information, data input/storage and the output of data into a report) has been performed in compliance with NYSE policies and procedures. Any and all variances must be explained in detail.

NYSE requires that an audit be conducted within the first ninety (90) days of the first issuance of MISU credits. The initial audit should examine the first month of MISU credits requested. Thereafter, an annual audit is required which examines all phases of the MISU process for any consecutive four (4) month period. ***NYSE reserves the right to request an audit at any time.***

Any external auditor must be approved by NYSE. Broker/dealers and banks may use internal audit departments to conduct their audit, as long as the audit and its findings are signed by the Chief Compliance Officer of the firm, a member of the firm's Audit Committee or an individual deemed acceptable by NYSE. Results of the audit should be sent to the NYSE account manager as soon as the audit is complete.

##### The audit should cover the following:

- Explain how end-user information was compiled and entered (e.g., manually, file upload, etc.) into the database. Verify that this process was performed without exception.

- Verify that the firm has the ability to produce a report showing the total number of CTA Network A and/or CTA Network B entitled devices (by vendor) at each MISU location.
- Verify that this report shows all CTA Network A and/or CTA Network B -entitled devices (by vendor) on a user-by-user basis.
- Verify that the firm has only submitted MISU reports for locations directly corresponding with vendor reporting.
- Verify that the matrix of users and entitled vendor devices submitted shows the total number of vendor devices per MISU location.
- Verify that firm employees with a single device were included in the reports.
- Verify that credits requested by the customer were valid. Confirm that users had access to CTA Network A and/or CTA Network B data from more than one market data service.
- If a database is being used, validate that the system has the ability to generate monthly reports showing the total number of individuals with access to CTA Network A and/or CTA Network B data at each location.
- If the MISU report contains information that has been uploaded electronically, verify that the end-user information was uploaded without exception. ***Vendor files should be archived for at least three (3) years.***
- If information in the MISU report is gathered manually (e.g., reconciliation of vendor invoices), verify that the information was properly entered into the database. ***Vendor invoices should be archived for at least three (3) years.***
- Confirm that individuals on the MISU report (e.g., John Smith) were employees of the firm at the time the report was submitted.

Failure to comply with the NYSE's MISU audit policy will result in the cancellation of a firm's MISU arrangement and its eligibility to receive future credits. Moreover, NYSE reserves the right to reinstate original charges should any improprieties/discrepancies arise which are deemed non-compliant.

**I certify the information provided on this Questionnaire is accurate and I have submitted copies of the following:**

- **A signed Copy of the NYSE Vendor Agreement**
- **Detailed explanation of how each phase of MISU is accomplished**
- **Network Diagram Overview**
- **MISU Report (spreadsheet)**

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

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

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

**Date Completed:** \_\_\_\_\_

**Approved by New York Stock Exchange LLC:**

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Print Name:** \_\_\_\_\_ **Title:** \_\_\_\_\_