Exhibit A – NYSE & NYSE MKT InfoTools Usage Questionnaire

Thank you for your interest in NYSE & NYSE MKT InfoTools 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 may require the following (if currently not on file):

1. Three copies of the Vendor Agreement (each copy with original signature)
2. Network Diagram Overview
3. Screen prints demonstrating the use and/or display of NYSE &/or NYSE MKT InfoTools data
4. A NYSE &/or NYSE MKT InfoTools 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:

<div align="center">

New York Stock Exchange, LLC.
Attn: Market Data Services
20 Broad Street, 10th Floor
New York, NY 10005
Fax (212) 656-5922

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

_____

between New York Stock Exchange, LLC. and

_____

(name of organization)

SECTION 1 - Data Source and Location(s)

1. **Method of Access and Type of NYSE &/or NYSE MKT InfoTools Data (check all that apply)**

Method of Access	Vendor Information
☐ **Direct from NYSE (SIAC/SFTI)** ☐ **Indirect through a Vendor (Third Party)**	**Vendor Name:** _____ **Vendor Service:** _____ **Vendor Account Number:** _____

Type of InfoTools Data
Real-time Info Tools Data

☐ **NYSE ProTrac**	☐ **NYSE MKT ProTrac**
☐ **NYSE ReTrac**	☐ **NYSE MKT ReTrac**

2. **Data feed Installation and Redistribution**
    A. Please enter the location where the NYSE &/or NYSE MKT Info Tools data feed will be installed and any additional locations (branch office, subsidiary, DR site, etc.) where the data will be redistributed. Be sure to include the total number of devices initially entitled.

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

Installation Address:	Relationship (Branch, Sub, Backup)	# of NYSE InfoTools Devices	# of NYSE MKT InfoTools Devices

Additional Location(s):	Relationship (Branch, Sub, Backup)	# of NYSE InfoTools Devices	# of NYSE MKT InfoTools Devices

SECTION 2 - Distribution & Use of NYSE &/or NYSE MKT InfoTools Data

1. **How and whom do you intend to use/offer NYSE &/or NYSE MKT InfoTools data?**

☐ **INTERNALLY** (to employees)	☐ **EXTERNAL DISPLAY** (to non-employees)	☐ **Datafeed Redistribution Service** (External)
☐ **Display Service** ☐ **Non-Display Service**	☐ **Professional Subscribers**	☐ **NYSE ProTrac** ☐ **NYSE ReTrac** ☐ **NYSE MKT ProTrac** ☐ **NYSE MKT ReTrac**

2. **Types of Subscribers, Pricing and Sign-up Methods**
   Every external (non-employee) subscriber must sign or electronically agree to the appropriate NYSE agreement before gaining access to real-time data. Nonprofessional subscribers may sign up and agree via an electronic click-on agreement. The required agreements are stated below.

Type(s) of User	Method of Sign-up and Pricing
Professional Subscribers	**Fixed Monthly fee per user:** ☐ *Hard copy of Professional Subscriber Agreement required ***If selected, please complete Prior Approval contact section (Pg 5)***

Professional Subscribers - Vendors are required to obtain NYSE approval (via www.nysedata.com) before entitling external professional subscribers with NYSE &/or NYSE MKT InfoTools data.

3. **Additional Usage (software development, API's, etc.)**
   A. Will you offer an API (Application Programming Interface) or DDE (Dynamic Data Exchange) as part of your display service?

      ☐ Yes ☐ No

   B. If yes, please explain:

   C. Will your display service be compatible with third party software (i.e. Order Management System, etc.)?

      ☐ Yes ☐ No

   D. If yes, please explain:

   E. 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

   F. If yes, please explain:

4. **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.)

      NOTE: *Service Facilitators may not be exempt from the NYSE &/or NYSE MKT InfoTools monthly access fee.*

Facilitator (include full name & address)	Function

5. **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. If more space is needed, please attach a separate sheet.

Affiliates (include full name & address)	Function

SECTION 3 - Technical Control & Reporting

*** This section is required and must be completed and approved by NYSE prior to receiving a NYSE &/or NYSE MKT InfoTools data feed**

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 its data. To ensure the number of users with access to NYSE &/or NYSE MKT InfoTools 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 **redistribute** NYSE &/or NYSE MKT InfoTools data?

   Data feeds ☐ Yes ☐ No ☐ N/A   **Display Service** ☐ Yes ☐ No ☐ N/A
   [for Datafeed redistribution ONLY]

   Name of Entitlement System: _____

   Product Name / Version: _____

   B. Is this a Proprietary System? ☐ Yes ☐ No

   C. 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). Please refer to the NYSE Market Data Entitlement Control Policy & Entitlement Review Process for required fields and other details*

   D.

   NOTE: 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 <u>no less than three years</u> 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 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.)

   E. Does your system have the ability to perform all of the above? ☐ Yes ☐ No

   F. If no, please explain:

   G. How are device entitlements controlled?
   Terminal ID basis   ☐ Yes ☐ No
   User ID / Password Basis   ☐ Yes ☐ No

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

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

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2.　Distribution of NYSE &/or NYSE MKT InfoTools Data (Internal Customers only)

A.　Will NYSE &/or NYSE MKT InfoTools 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.

Network Diagram Included? ☐ Yes

4.　Reporting Obligations
The NYSE requires customers/vendors to submit a total inventory of products and professional subscribers utilizing NYSE &/or NYSE MKT InfoTools data every month. This report is required to ensure accurate invoicing by NYSE either directly to you or your client. (Please refer to NYSE's *Reporting Fact Sheet* for the most current information and instructions on products codes and reporting.)

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

☐　**INTERNAL Users (Employees)**
Any organization providing NYSE &/or NYSE MKT InfoTools 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)**
Vendors providing NYSE &/or NYSE MKT InfoTools data to non-employee 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.

☐　**DATA FEEDS**
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.nysedata.com/reporting. *(This option is highly recommended for all vendors that do not have a large professional subscriber base)*

☐　**File-based Reporting**
Report to NYSE via file based reporting - VRXML file (see www.VRXML.org for information)

☐　**Third Party Reporting Facilitator**

Explain: ┌──┐
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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: ☐
Billing: ☐
Compliance: ☐
Reporting: ☐
Technical: ☐
Other (specify):

_____

First Name _____ Last Name _____ Title _____

Phone _____ Facsimile _____ E-mail _____

Address where contact is located ___ Installation ___ Billing ___ Other (please specify)

Street Address _____ City_____ State _____

Province _____ Country _____ Postal Code _____

Main: ☐
Billing: ☐
Compliance: ☐
Reporting: ☐
Technical: ☐
Other (specify):

_____

First Name _____ Last Name _____ Title _____

Phone _____ Facsimile _____ E-mail _____

Address where contact is located ___ Installation ___ Billing ___ Other (please specify)

Street Address _____ City_____ State _____

Province _____ Country _____ Postal Code _____

Subscriber Authorization Contact **(only if you plan to provide data to Professional Subscribers via displays/data feeds)**

First Name _____ Last Name _____ Title _____

Phone _____ Facsimile _____ E-mail _____

Address where contact is located ___ Installation ___ Billing ___ Other (please specify)

Street Address _____ City_____ State _____

Province _____ Country _____ Postal Code _____

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 &/or NYSE MKT InfoTools data and the NYSE reserves the right to bill retroactively for any improprieties/discrepancies which are deemed non-compliant.

Signature: _____   **Title: _____**

Print Name: _____   **Date Completed: _____**