

Applications in Nasdaq Member Portal

Nasdaq Nordic

Version 1.2

Nasdaq Member Portal

All applications developed by Independent Software Vendors (ISV's) or developed in-house by members, connecting to INET and Genium INET needs to be registered in the Nasdaq Member Portal. Members with Sponsored Access Clients have to register their Sponsored access clients and map their users/sessions to the application.

Registration of applications is the first step in order for members to prove the use of conformed and approved application.

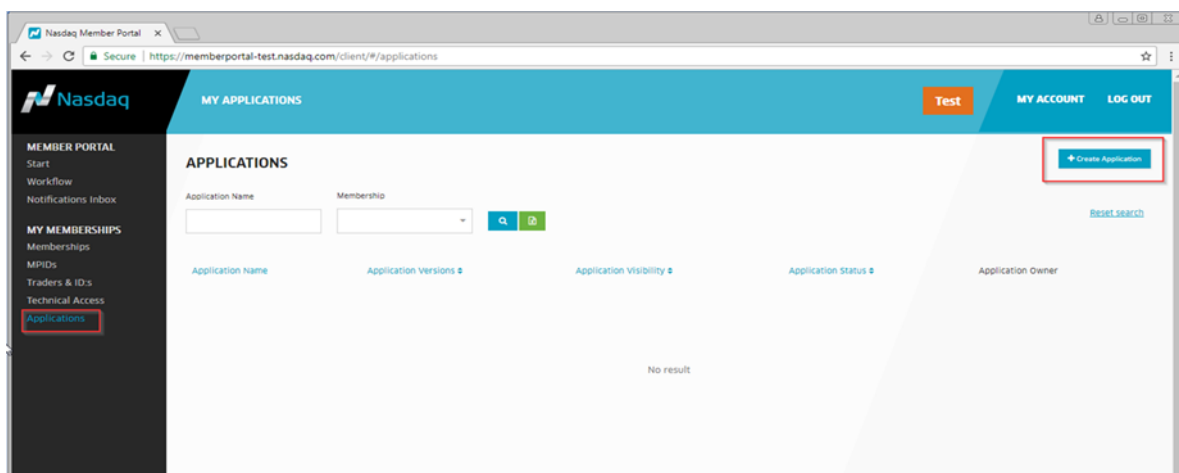
The registration will consist of the name of the application, version number, contact information etc. Once registered, a conformance test can commence in order to be approved for production access.

Registration of Applications

Log into Nasdaq Member portal by clicking the following URL:

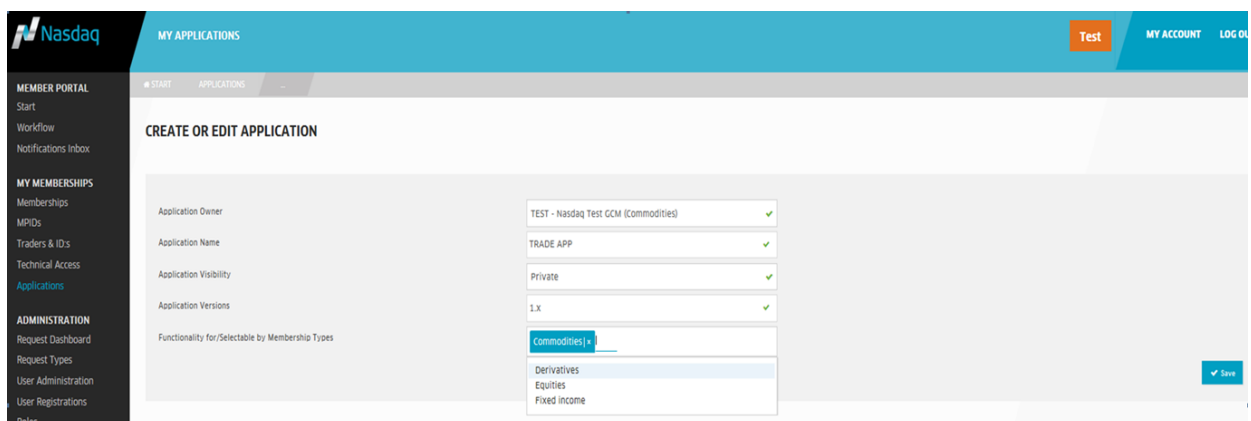
<https://memberportal.nasdaq.com/auth/login>

Once logged in, click "Applications" and the below window will appear. Press "+ Create Application"



The following window will appear.
Please fill in the following.

- **Application Owner** – Select the application owner.
- **Application Name** – Enter the application name (For ISVs it is important to choose the name of the application known by their customers). If the application have several names it is possible to enter the application as name TRADE APP/NASDAQ Trader/ etc.
- **Application Visibility** – Please chose one of the 3 application visibility options.
 - **Public** – The registered application is visible for all Member portal users independent of which company the Member Portal user is representing.
 - **Assigned** – To make the application visible only for a subset of Nasdaq members of their choice. Members with several MPIDs who have registered an application for one MPID (application owner) can make the application visible for other MPIDs.
 - **Private**- The application is only visible for Member Portal users within the company the application has been registered for.
- **Application Versions** – Please fill in version number for the application registered. This is a free text shall correspond with the test cases the version has been conformed for.
 - Example 1: 1.1
 - Example 2: 1.1, 1.2,1,3
 - Example 3: 1.x
- **Functionality for/Selectable by Membership types** – Please chose the different asset classes the application support. Supports multiple select.
- Press save



The screenshot shows the 'MY APPLICATIONS' section of the Nasdaq Member Portal. The main heading is 'CREATE OR EDIT APPLICATION'. The form contains the following fields:

- Application Owner:** TEST - Nasdaq Test CCM (Commodities) ✓
- Application Name:** TRADE APP ✓
- Application Visibility:** Private ✓
- Application Versions:** 1.X ✓
- Functionality for/Selectable by Membership Types:** A dropdown menu is open, showing 'Commodities' selected, with other options: Derivatives, Equities, and Fixed Income.

A 'Save' button is located at the bottom right of the form.

Application Status - The application status will now show "Pending" meaning that the application has been registered and is visible for others, in a pending state.

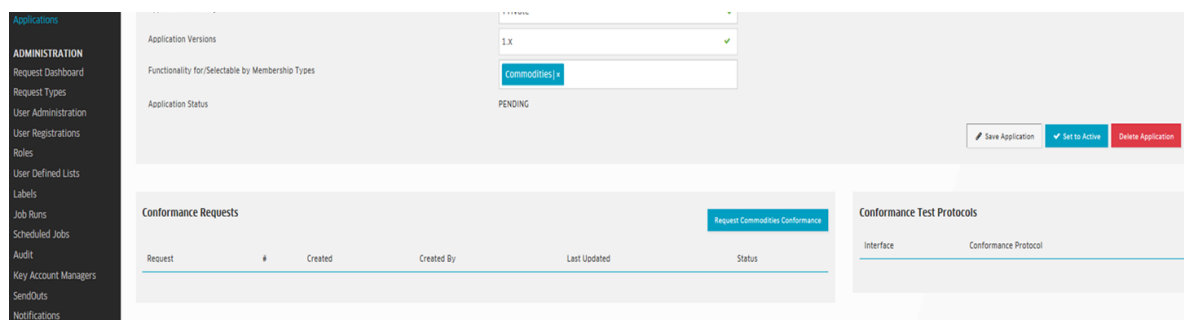
State Pending also means that the application has not been conformance tested yet. Once the application has been conformed and approved, the state of the application will change to "Approved" so users of the application knows that they are using an conformance tested application. This is an important step for the users that will self-certify. More information regarding self-certification will be covered later in this guide.

Once "Set to Active" is selected the "Conformance Request" and "Conformance Test Protocols" will appear in the Applications window.

Request conformance test

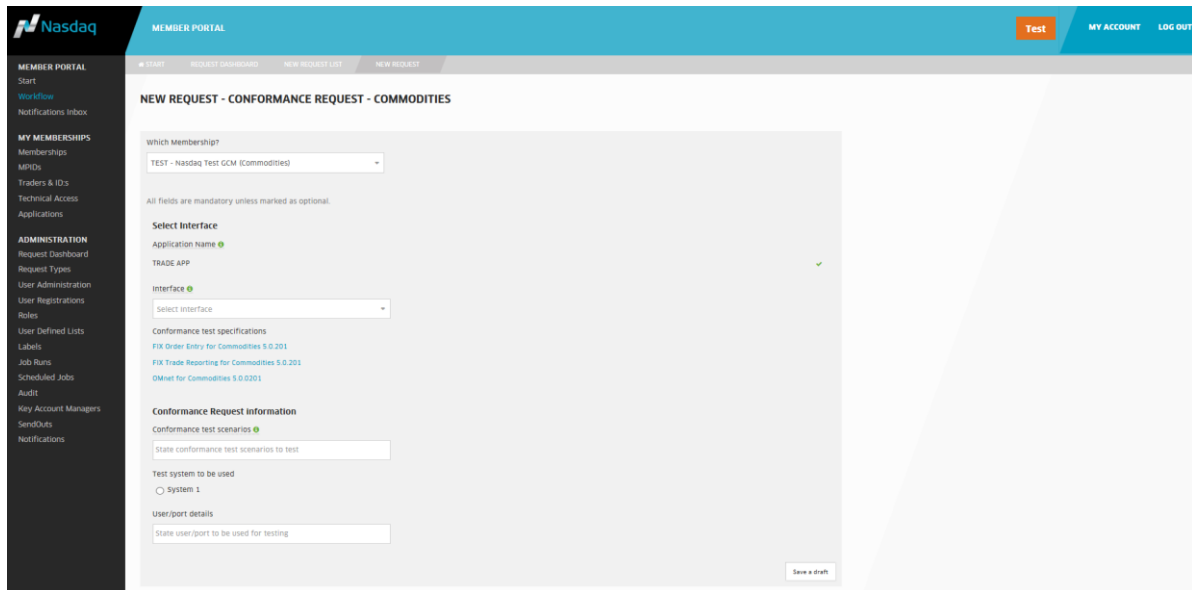
Please press "Request <Asset Class> Conformance". The "Request <Asset Class> Conformance" will reflect your selections made in "Functionality for/selectable by Membership types" Commodities, Equity Derivatives, Fixed Income & Commodities.

In the window below we chose Commodities only and will only see "Request Commodities Conformance". If you have made several selections in "Functionality for/selectable by Membership types" You will see several "Request <Asset Class> Conformance" each representing the asset class you chosen earlier .



The screenshot displays the 'Request Commodities Conformance' window. On the left is a sidebar menu with options like 'Applications', 'ADMINISTRATION', 'Request Dashboard', 'Request Types', 'User Administration', 'User Registrations', 'Roles', 'User Defined Lists', 'Labels', 'Job Runs', 'Scheduled Jobs', 'Audit', 'Key Account Managers', 'SendOuts', and 'Notifications'. The main content area shows the 'Request Commodities Conformance' form. It includes fields for 'Application Versions' (set to '1.X'), 'Functionality for/Selectable by Membership Types' (set to 'Commodities'), and 'Application Status' (set to 'PENDING'). Below these fields are three buttons: 'Save Application', 'Set to Active', and 'Delete Application'. At the bottom, there are two sections: 'Conformance Requests' and 'Conformance Test Protocols'. The 'Conformance Requests' section has a table with columns: 'Request', '#', 'Created', 'Created By', 'Last Updated', and 'Status'. The 'Conformance Test Protocols' section has a table with columns: 'Interface' and 'Conformance Protocol'.

Once Request <Asset Class> Conformance has been selected the following window will appear.



MEMBER PORTAL

NEW REQUEST - CONFORMANCE REQUEST - COMMODITIES

Which Membership?
 TEST - Nasdaq Test GCM (Commodities)

All fields are mandatory unless marked as optional.

Select Interface

Application Name
 TRADE APP

Interface
 Select Interface

Conformance test specifications
 FIX Order Entry for Commodities 5.0.201
 FIX Trade Reporting for Commodities 5.0.201
 OMnet for Commodities 5.0.201

Conformance Request information

Conformance test scenarios
 State conformance test scenarios to test

Test system to be used
☐ System 1

User/port details
 State user/port to be used for testing

Save as draft

- **Which Membership**
 - Please choose the membership applicable for the application. This should reflect the membership type in which you earlier registered the application for.
- **Selected Interface**
 - Application Name – Once Membership is selected the application name registered for that membership will be populated.
 - Interface – Please chose the interface you want to conform for. FIX <Asset class> and/or OMnet <Asset class>. Multiple selection is supported.
 - Conformance test specifications – Once interface is selected the conformance test cases will be visible and also show what API/Protocal and asset class the application supports.
- **Conformance Request information**
 - Conformance Test Scenarios – Please enter the conformance test scenarios you wish to conformance test for. Please enter the Case# for each scenario as specified in the conformance test specification. For example ADM01 – ADM05, NOS001-NOS003, etc.
 - Test system to be used. Please select the test system you wish to conformance test your application. For this release its only applicable to chose M2 for INET and EXT4 for Genium INET since they are the test environments that supports MiFID2 functionalities.
 - User/Port details – Please specify the user/port details that you will use during the conformance test.
- Press save

Application Self-Certification – Genium INET (Equity Derivatives, Commodities and Fixed Income members)

All members are required to self-certify in Member Portal which trading application each trading-user is using in Genium INET, in order to prove the use of a conformed application in accordance to RTS 7. To self-certify which trading application you are using, please follow the steps below:

Once logged in to Member Portal, navigate to “Technical Access” and choose the relevant production environment and your Memberships “MPID” and press search to get the below overview of your current users.

MEMBER PORTAL
Start
Workflow
Notifications Inbox
MY MEMBERSHIPS
Memberships
MPIDs
Traders & ID's
Technical Access
Applications
menu algo
ADMINISTRATION
Request Dashboard
Request Types
User Administration
User Registrations
Roles
User Defined Lists

TECHNICAL ACCESS

Environment: Genium INET Test (EXT1)
MPID: MEMPO - Derivatives
Access Type:

Reset Settings

User Accounts - Genium INET Test (EXT1)

Add Clearing Related User
Add Trading Related User

User Name	SenderSubID/Sign.	User Type	Order Action If Lost	Access Type	Last Login	Application	Notes
MEMPOBOC1	BOC1	Back Office	Inactivate all				
MEMPOTS1	TS1	Trading	Inactivate all		2016-11-01		
MEMPO_CWS1	CWS1	Clearing Workstation 1	Inactivate all	Server			
MEMPO_CWA1	CWA1	Clearing Workstation 1	Inactivate all	Admin			
MEMPOTS3	TS3	Trading	Inactivate all		2016-08-08		
MEMPOTS2	TS2	Trading	Inactivate all		2016-08-08		

In order to self-certify which trading application a trading-user (User Type: Trading) is using, simply click on the user you would like to self-certify to get the below overview. To choose the relevant application you can either do a search in the “Select Application” field or use the scroll function to see which applications are available. When an application is chosen a summary of the results of the conformance test of that specific application can be accessed. If you cannot find the application you are using, please contact your ISV or your IT-department to ensure that the application has been registered in Nasdaq Member Portal. If you still have issues finding the application, please contact technicalrelations@nasdaq.com.

User Name: MEMPOTS1
SenderSubID/Sign.: TS1
User Type: Trading
Order Action If Lost: Inactivate all
Access Type:
Last Login: 2016-11-01
Comment: Write a note for this port

Application: app 2 - 2.0 (PENDING)

[FIX Order Entry for Derivatives 5.0.201.xlsx](#)
[FIX Order Entry for Commodities 5.0.201.xlsx](#)

Requests
[Edit/Remove System User in Genium INET - Derivatives/Commodities/Fixed Income](#)
[New Clearing Access - copy](#)
[New Clearing Access](#)

Save

Once the appropriate application is chosen simply press “Save” and the application you chose will be visible like in the overview below. Once all trading-users have an application assigned to them you can confirm the Member Portal action “Trading Application Confirmation”, which can be found on the Member Portal start page.

Please note: *In order to be compliant and get the request approved, all users with user type “Trading” must have an application assigned to them, like the case in the overview below.*

User Accounts - Genium INET Test (EXT1) <small>Test</small>							
User Name	SenderSubID/Sign	User Type	Order Action If Lost	Access Type	Last Login	Application	Notes
MEMPOBOC1	BOC1	Back Office	Inactivate all				
MEMPOTS1	TS1	Trading	Inactivate all		2016-11-01	app 2 - 2.0 (PENDING)	
MEMPO_CWS1	CWS1	Clearing Workstation 1	Inactivate all	Server			
MEMPO_CWA1	CWA1	Clearing Workstation 1	Inactivate all	Admin			
MEMPOTS3	TS3	Trading	Inactivate all		2016-08-08	app 2 - 2.0 (PENDING)	
MEMPOTS2	TS2	Trading	Inactivate all		2016-08-08	app 1 - 1.0 (PENDING)	

Application Self-Certification – INET (Equity Members)

All members are required to self-certify in Member Portal which trading application each port (Session ID) is using in INET, in order to prove the use of a conformed application in accordance to RTS 7. To self-certify which trading application you are using, please follow the steps below:

Once logged in to Member Portal, navigate to “Technical Access” and choose the relevant production environment and your Memberships “MPID” and press search to get the below overview.

MEMBER PORTAL

Start

Workflow

MY MEMBERSHIPS

Memberships

MPIDs

Traders & IDs

Technical Access

Applications

Algorithm Certification

ADMINISTRATION

Request Dashboard

Request Types

User Administration

User Registrations

Roles

User Defined Lists

Labels

TECHNICAL ACCESS

Environment

MPID

Access Type

INET Test (M2)

GP30 - Equities

Q

Reset Search

FIX DROP for Order Entry - INET Test (M2)

Test

Add FIX DROP for Order Entry port

Session ID	Source IP Verification	Primary IP	Fallover IP	Port number	COLO	SenderCompID	Notes
GP30X1	0.0.0.0/00, 0.0.0.0/00	159.79.70.160	159.79.71.160	10361	NO	GP30	

Last data import: 2017-09-26

FIX ORDER ENTRY - INET Test (M2)

Test

Add FIX ORDER ENTRY port

Session ID	Source IP Verification	Primary IP	Fallover IP	Port number	COLO	SenderCompID	Application	Notes
GP30F1	0.0.0.0/00, 0.0.0.0/00	10.211.103.36	10.211.103.39	12030	NO	GP30		

A user setup for trading needs to self-certify trading application of use for FIX ORDER ENTRY, FIX TRADE REPORTING (ENTRY) and OUCH. To do this, click on the Session ID you would like to self-certify to get the below overview.

FIX ORDER ENTRY

Session ID

GP30F1

Application

Source IP Verification

0.0.0.0/00, 0.0.0.0/00

Select Application

Primary IP

10.211.103.36

Fallover IP

10.211.103.39

Port number

12030

COLO

NO

SenderCompID

GP30

Cancel On Disconnect

No

Cancel Over Any

Yes

Reject IOC During Auctions

No

Service Bureau, OBO

GP31,GP32

PRM Price Validation

Yes

To choose the relevant application you can either do a search in the “Select Application” field or use the scroll function to see which applications are available. When an application is chosen a summary of the results of the conformance test of that specific application can be accessed. If you cannot find the application you are using, please contact your ISV or your IT-department to ensure that the application has been registered in Nasdaq Member Portal. If you still have issues finding the application, please contact technicalrelations@nasdaq.com.

MY MEMBERSHIPS

Memberships

MPIDs

Traders & IDs

Technical Access

Applications

Algorithm Certification

ADMINISTRATION

Request Dashboard

Request Types

User Administration

User Registrations

Roles

User Defined Lists

Labels

INET Test (M2)

GP30 - Equities

Q

Reset search

FIX DROP for Order Entry - INET Test (M2)

Session ID

Source IP Verification

Primary IP

Fallover IP

Port number

COLO

SenderCompID

Notes

GP30X1	0.0.0.0/00, 0.0.0.0/00	199.79.70.160	199.79.71.160	10361	NO	GP30	
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Last data import: 2017-09-26

FIX ORDER ENTRY - INET Test (M2)

Session ID

Source IP Verification

Primary IP

Fallover IP

Port number

COLO

SenderCompID

Application

Notes

GP30F1	0.0.0.0/00, 0.0.0.0/00	10.211.103.36	10.211.103.39	12030	NO	GP30	Test Application - 1 (PENDING)
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Once the appropriate application is chosen press “Save” and the application you chose will be visible like in the overview above. Once all fix order entry, fix trade reporting (entry) and ouch ports/sessions have applications assigned to them you can confirm the Member Portal action “Trading Application Confirmation”, which can be found on the Member Portal start page.

Trading users using Nasdaq Nordic Workstation does not have to take any actions. Trading users are under the Nasdaq Nordic Workstation section and therefore already certified. Nasdaq Nordic Workstation conformance test report can be found on

<http://www.nasdaqomx.com/transactions/technicalinformation/inet/nordic-workstation>

Please note: In order to be compliant and get the request approved, all Fix Order Entry, Fix Trade Reporting (Entry) and Ouch ports/sessions must have an application assigned to them, like the case in the overview below.