



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.

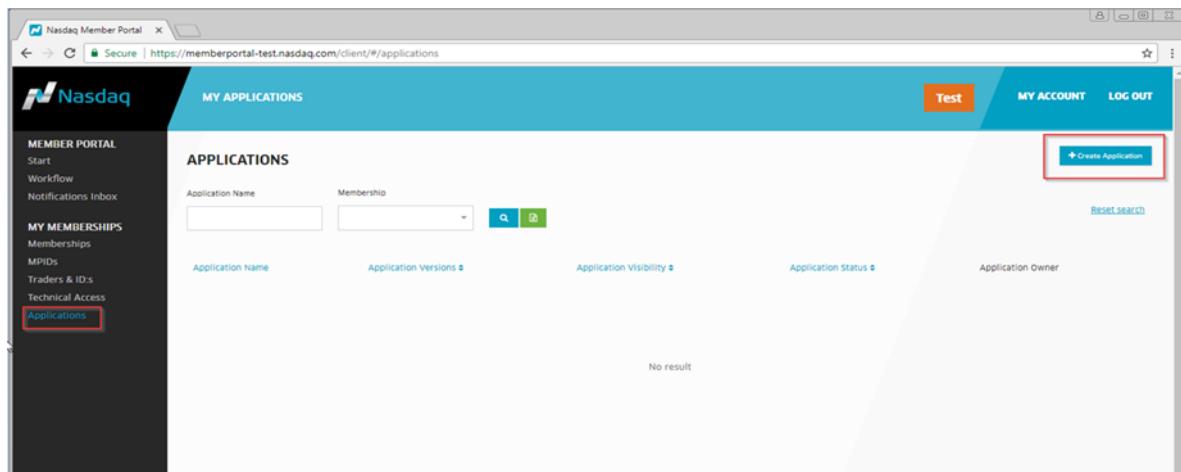
The registration will consist of the name of the application, version number, contact information etc. Once registered, a conformance test can commence in order to be approved for production access.

Registration of Applications

Log into Nasdaq Member portal by clicking the following URL:

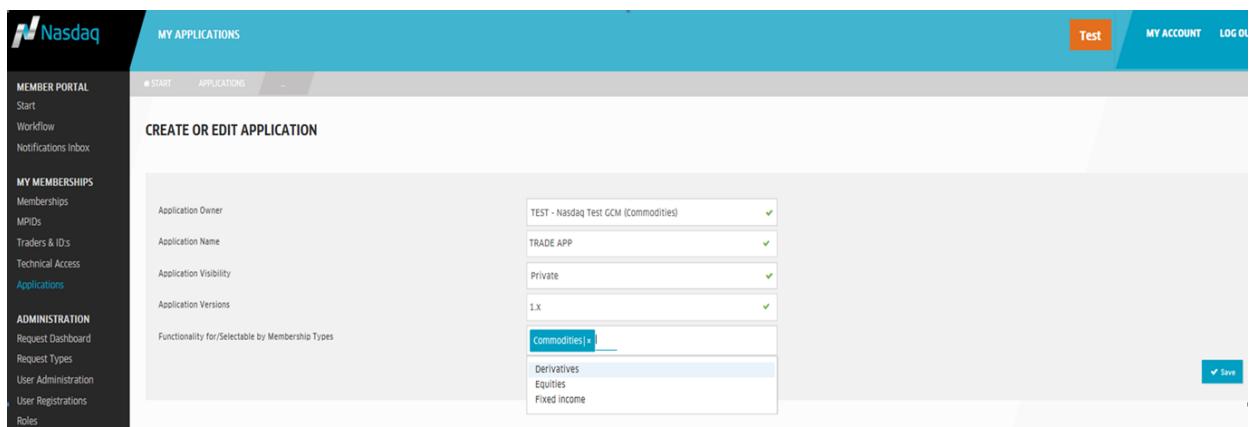
<https://memberportal.nasdaq.com/auth/login>

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



MY APPLICATIONS

CREATE OR EDIT APPLICATION

Application Owner	TEST - Nasdaq Test GCM (Commodities)
Application Name	TRADE APP
Application Visibility	Private
Application Versions	1.X
Functionality for>Selectable by Membership Types	Commodities Derivatives Equities Fixed Income

Test MY ACCOUNT LOG OUT

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.

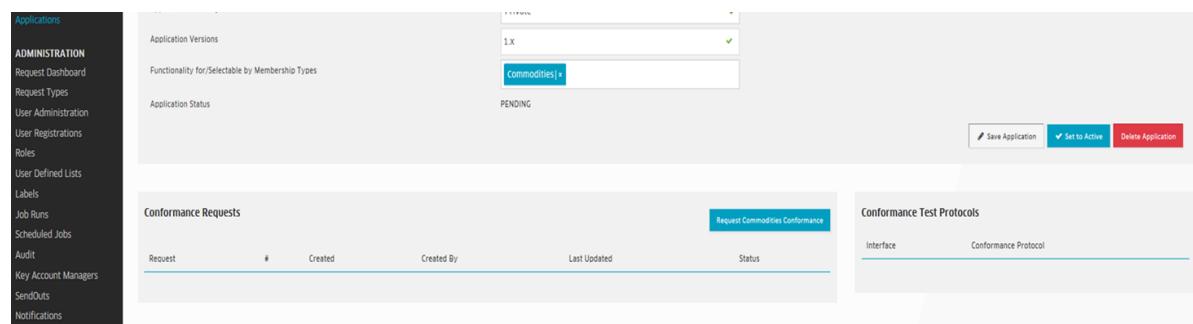
State Pending also means that the application has not been conformance tested yet. Once the application has been conformed and approved, the state of the application will change to "Approved" so users of the application knows that they are using an conformance tested application. This is an important 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

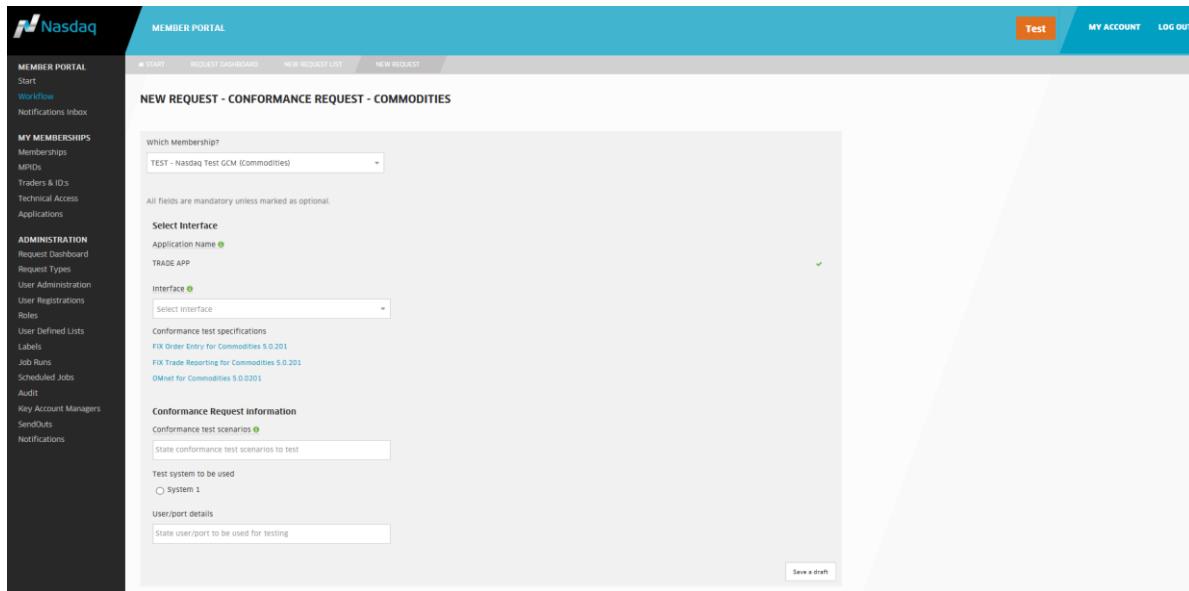
Please press "Request <Asset Class> Conformance". The "Request <Asset Class> Conformance" will reflect your selections made in "Functionality for/selectable by Membership types" Commodities, Equity Derivatives, Fixed Income & Commodities.

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 shows the 'Applications' interface. On the left, a sidebar lists 'ADMINISTRATION' options: 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 has tabs for 'Applications', 'Conformance Requests', and 'Conformance Test Protocols'. Under 'Applications', the 'Functionality for>Selectable by Membership Types' dropdown is set to 'Commodities'. The 'Application Status' is 'PENDING'. Below these are buttons for 'Save Application', 'Set to Active', and 'Delete Application'. The 'Conformance Requests' section has a table with columns: Request, Created, Created By, Last Updated, and Status. A 'Request Commodities Conformance' button is visible. The 'Conformance Test Protocols' section is currently empty.

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

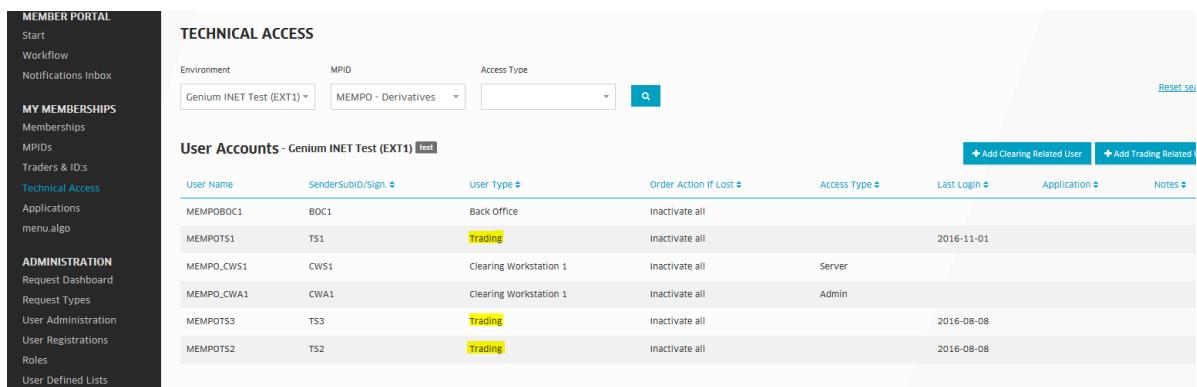


- **Which Membership**
 - Please choose the membership applicable for the application. This should reflect the membership type in which you earlier registered the application for.
- **Selected Interface**
 - Application Name – Once Membership is selected the application name registered for that membership 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/Protocol 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-NOS03, 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)

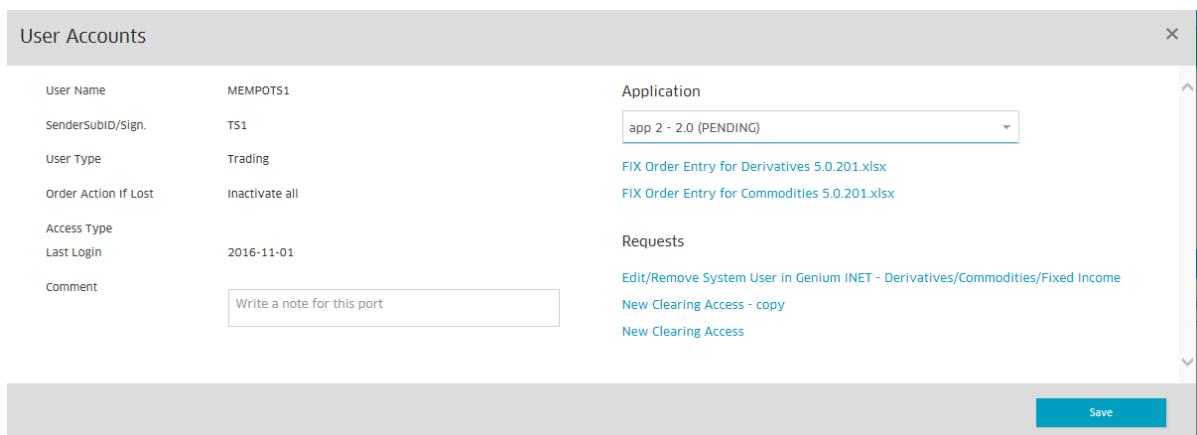
All members are required to self-certify in Member Portal which trading application each trading-user is using in Genium INET, in order to prove the use of a conformed application in accordance to RTS 7. To self-certify which trading application you are using, please follow the steps below:

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.



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.





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) test							
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.

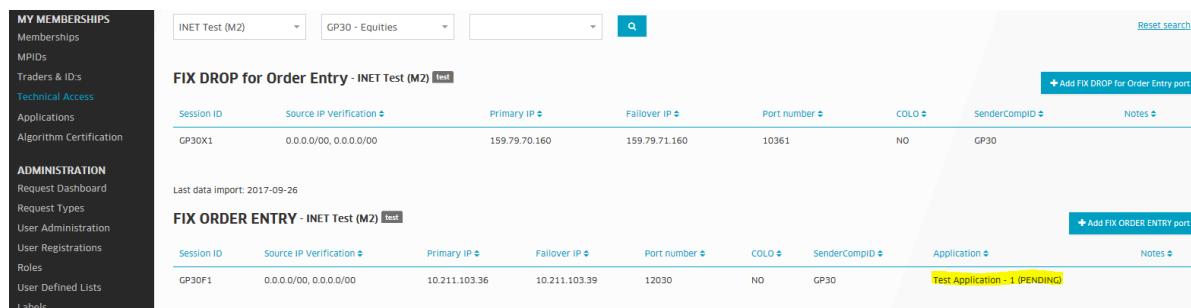
TECHNICAL ACCESS							
Environment	MPID	Access Type	FIX DROP for Order Entry - INET Test (M2) test				
INET Test (M2)	GP30 - Equities		Reset search				
Session ID	Source IP Verification	Primary IP	Failover IP	Port number	COLO	SenderComplID	Notes
GP30X1	0.0.0.0/00, 0.0.0.0/00	159.79.70.160	159.79.71.160	10361	NO	GP30	
FIX ORDER ENTRY - INET Test (M2) test							
Last data import: 2017-09-26							
Session ID	Source IP Verification	Primary IP	Failover IP	Port number	COLO	SenderComplID	Application
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	
Failover 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.



The screenshot shows the Nasdaq Member Portal interface. On the left, there is a sidebar with navigation links for 'MY MEMBERSHIPS' (Memberships, MPIDs, Traders & IDs, Technical Access, Applications, Algorithm Certification) and 'ADMINISTRATION' (Request Dashboard, Request Types, User Administration, User Registrations, Roles, User Defined Lists, Labels). The main content area has two tables. The top table is titled 'FIX DROP for Order Entry - INET Test (M2)' and shows a single row for 'GP30X1' with columns: Session ID, Source IP Verification, Primary IP, Failover IP, Port number, COLO, SenderCompID, and Notes. The bottom table is titled 'FIX ORDER ENTRY - INET Test (M2)' and also shows a single row for 'GP30F1' with the same columns. A yellow box highlights the 'Test Application - 1 (PENDING)' status in the Notes column of the bottom table.

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.*