

MARKET DATA QUESTIONNAIRE

PLEASE COMPLETE THIS MARKET DATA QUESTIONNAIRE TO ENABLE ONECHICAGO, LLC TO UNDERSTAND YOUR LICENSING REQUIREMENTS.

This questionnaire refers to the following categories of Market Data Licensed Firms, which are defined in the Market Data License Agreement (“MDLA”):

- **Access Firm:** A Market Data Licensed Firm is an Access Firm if it receives Market Data via programmatic access to real time or delayed, streaming or subscription-based Market Data, either directly from OneChicago’s market data feeds or from a Distributor.
- **Distributor:** A Market Data Licensed Firm is a Distributor if it receives Market Data for the purpose of distributing the Market Data. A Distributor is required to report as a Unit of Count any entity to which it distributes Market Data.
- **Extranet Service Provider:** A Market Data Licensed Firm is an Extranet Service Provider if it provides network access to OneChicago Market Data. An ESP may transmit Market Data to a Market Data Licensed Firm, but may not itself use, store, alter, distribute or maintain the Market Data in any way for any purpose other than to ensure the quality of its transmission to its customers such as by conducting gap detection and latency monitoring.
- **ISV Distributor:** A Market Data Licensed Firm is an ISV Distributor if it receives Market Data from the exchange or another Distributor and develops and sells or leases an electronic order entry platform to be used by Company’s customers for the entry of orders into the OneChicago System.

This Market Data Questionnaire must be signed and returned by an authorized representative of the firm. Return this document to marketdata@onechicago.com.

1. COMPANY CONTACT INFORMATION

Name
Address
Address Line 2
City, State, Zip
Country
Website

Questions regarding this document should be directed to marketdata@onechicago.com or by phone at 312.883.3411

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COMPANY CONTACTS

BUSINESS CONTACT

Name
Title
Phone
Email

COMPLIANCE CONTACT

Name
Title
Phone
Email

TECHNOLOGY CONTACT

Name
Title
Phone
Email

BILLING CONTACT

Name
Title
Phone
Email

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2. BUSINESS TYPE

Select all of the following Business Types below that apply to your firm.

Asset Manager

Bank

Data Center/Network Service Provider

Educational Institution

Exchange

Independent Software Vendor

Intermediary

Market Data Vendor

News/Media

Proprietary Trading Firm

Other

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3. GENERAL DESCRIPTION OF BUSINESS

Provide a general description of your firm including:

- Number of employees
 - 1-50
 - 51-500
 - 501-1000
 - 1001+
- Will you be accessing or receiving Market Data at locations other than the location listed in Section 1? If so, how many other locations?
- Please state the Business Purpose of your use of Market Data.
- Will you be distributing this Market Data Internally and/or Externally? If so, please describe.

4. RECEIPT OF INFORMATION

a) Method of Market Data Access

Direct from Exchange

From a Distributor

From an ISV Distributor

From an Extranet Service Provider

b) If you are **not** receiving Market Data from OneChicago, please provide the following details regarding your vendor:

Name of Vendor:

Name of Vendor's Service:

Vendor Business Contact Name:

Vendor Business Contact Phone:

Vendor Business Contact Email:

5. USE OF INFORMATION

Name the vendor system by which you receive Market Data and describe the internal systems and methods you use to receive, process and store Market Data:

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6. INTERNAL/EXTERNAL DISTRIBUTION

Please complete the table below with information regarding your company’s internal and/or external distribution of OneChicago Market Data. Include the name of your Market Data distribution system/software and whether or not there is an Entitlement System for access control.

Name of system	Entitlement System	Method of Access	Vendor Code for OneChicago Market Data	Internal/External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External

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6. INTERNAL/EXTERNAL DISTRIBUTION CONT.

Name of system	Entitlement System	Method of Access	Vendor Code for OneChicago Market Data	Internal/External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External
	Yes	Display		Internal
	No	Non-Display		External

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7. ENTITLEMENT AND CONTROLS

The MDLA and associated Market Data Policies require that Market Data Licensed Firms have effective internal controls to administer access to Market Data.

Access to Market Data must be identified, recorded, and controlled by Unit of Count as outlined in the Market Data Policies. Any unit with an entitlement that is enabled for access to Market Data at any time during the relevant month must be recorded (regardless of actual use/login).

a) Do you have a proprietary or third-party market data entitlement system?

b) Describe your entitlement system. Specifically, how are users permissioned, and how is access to the Market Data configured?

c) Are Market Data access and Order Entry access permissioned together or separately?

d) Describe the onboarding process for a new Subscriber or User, whichever is applicable:

8. SIGNATURE

Name

Title

Signature

Date