

## Non-Professional Verification Form

SIEBERT

All non-professional market data users must submit the below form, as required by NASDAQ OMX®, in order to qualify for non-professional rates and receive real-time quotes free of charge on our SiebertNet website. If you have any questions or require assistance in completing the questionnaire, please email us at [CustomerService@SiebertNet.com](mailto:CustomerService@SiebertNet.com) or call Customer Service at 1-800-872-0444, Mon.-Fri., 9am to 5pm ET.

**Please Note:** In the section below entitled "Software/Data Provider," note the following:

- Please insert your SiebertNet User ID (10 digit UID beginning with "2405") in the field marked "Account Number or User ID with Software/Data Provider."
- "Software/Data Provider/Broker Dealer" has been prefilled with "SunGard AFS" for your convenience.
- Leave the field "Trader ID" marked as "N/A".

**Please return the completed and signed form to the attention of Customer Service by either:**

- 1) Email to [CustomerService@SiebertNet.com](mailto:CustomerService@SiebertNet.com);
- 2) Fax to 212-486-2784; or
- 3) Mail to: Muriel Siebert & Co., Inc., Newport Financial Center  
15 Exchange Place  
Suite 615  
Jersey City, NJ 07301

# Non-Professional Subscriber Questionnaire



All non-professional subscribers of a Distributor or Client Organization must submit this form to NASDAQ OMX to qualify for Non-Professional rates.

## Section 1: Contact Information

<b>Name:</b> _____	
<b>Primary:</b> _____	<b>Address:</b> _____
<b>Telephone:</b> _____	<b>Street:</b> _____
<b>Email:</b> _____	<b>Street:</b> _____
	<b>City:</b> _____ <b>State:</b> _____ <b>Zip:</b> _____

## Section 2: Software/Data Provider Information

Please list all of the Data Providers from which you receive Market Data.

	Software/Data Provider (Required)	Account #/User I.D. (Optional)	Trader I.D. (If Applicable)
#1			
#2			
#3			

## Section 3: Non-Professional Questions

Questions	Yes	No
1. Are you a Subcontractor or Independent Contractor of the firm listed above?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are you trading using the firm's capital?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are you trading using comingled funds with the firm listed above?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are you a Securities Professional? Are you.... <ul style="list-style-type: none"> <li>• Registered with any state, federal or international securities agency or self-regulatory body?</li> <li>• Engaged as an Investment Advisor?</li> <li>• Employed by an organization that is exempt from U.S. securities laws that would otherwise require registration?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are you using NASDAQ OMX data for a business, professional or other commercial purpose not compatible with Non-Professional Status?	<input type="checkbox"/>	<input type="checkbox"/>
6. Are you accessing NASDAQ OMX data via a Trading Authorization form or similar document?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are you trading on behalf of the broker/dealer above, or any other proprietary trading group?	<input type="checkbox"/>	<input type="checkbox"/>
8. Is your trading activity related to a corporation, partnership, or similar organization whereby their primary purpose is trade for the benefit of the organization?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do you rent a seat which allows personal trading, i.e. non comingled funds? If yes, please provide the following: Clearing Firm: _____ Clearing Acct#: _____	<input type="checkbox"/>	<input type="checkbox"/>

Name: \_\_\_\_\_ Date: \_\_\_\_\_

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

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 15 Exchange Place  
 Suite 615  
 Jersey City, NJ 07302