

NASDAQ OMX Nordic – Pre-Trade Risk Management Request Form

Company Identification Information

Member Firm		MPID ¹	
Contact Name			
Email Address			
Direct Phone Number			

¹ Member Participant ID. Usually a three letter sign.

For details, scope and limitations of the PRM services offered below, please see the *NASDAQ OMX Nordic Pre-Trade Risk Management Service Guide*, published on our Member Extranet:

http://nordic.nasdaqomxtrader.com/memberextranet/inetnordic/inet_nordic_prm/

When ordering or requesting updates of the PRM services, as well as testing and preparing for implementation of PRM, please follow the step-by-step application and go-live process outlined in the Service Guide. Please note that production setup of PRM accounts must first be tested in the OTF test environment.

Environment

Please indicate which environment this request is applicable for

INET Production INET Member Test Facility (OTF)

Fat Finger Price Checks

If the order deviates more than an order book configured parameter (%), pre-set by the exchange, the order will be rejected with a reject message ("bad price") before it can execute.

New request OR **Permanent update with activation date²:** _____

OR

Intraday TEMPORARY Update²

Change is valid only for current day. Previous setting is re-applied on the following trading day.

Intraday PERMANENT Update²

Change is valid also for following trading day and going forward.

Fat Finger check shall be enabled or disabled for:

- All FIX order entry ports
- All OUCH order entry ports
- On Firm level (All ports)
- For the OUCH ports listed below:

OUCH

_____	_____
_____	_____
_____	_____
_____	_____

² For changes to be activated intraday or the next trading day, please alert the Trade Support Desk in advance at +46 8 405 6570.

Max Quantity Checks

Order volume will be checked against a pre-set value configured for the Users included in your PRM Account. **NOTE: If nothing is specified for one or more currencies, there will be no limit set for orders submitted in those currencies!**

Max order volume (quantity) for instruments traded in **SEK**: _____
 Max order volume (quantity) for instruments traded in **EUR**: _____
 Max order volume (quantity) for instruments traded in **DKK**: _____
 Max order volume (quantity) for instruments traded in **NOK**: _____
 Max order volume (quantity) for instruments traded in **ISK**: _____
 Max order volume (quantity) for instruments traded in **EEK**: _____
 Max order volume (quantity) for instruments traded in **LVL**: _____

Maximum Order Value Check

A maximum order value allowed on a per order basis is applied for the Users included in your PRM Account. You can set maximum values for each of the currencies below. **NOTE: If nothing is specified for one or more currencies, there will be no limit set for orders submitted in those currencies!**

Desired max value per order: **SEK** _____
EUR _____
DKK _____
NOK _____
ISK _____
EEK _____
LVL _____

Restricted Symbol List Checks

Restricted Symbol List Checks prevent users to trade on certain symbols.

Prohibit trading on the instrument symbols and/or markets listed below

By specifying a market segment code, the system will prohibit trading on all symbols in that specific market.

Order Book Symbol	Market Code
_____	_____
_____	_____
_____	_____
_____	_____

Daily Accumulated Value Checks

Please choose your accumulators below:

▶ **Total Risk Value**
 Total traded value including all open orders in the market. (Only applicable for order books traded in currencies for which a value has been specified below)

_____ **SEK**
 _____ **EUR**
 _____ **DKK**
 _____ **NOK**
 _____ **ISK**
 _____ **EEK**
 _____ **LVL**

► **Total Traded Value**
 Total traded value. (Only applicable for order books traded in currencies for which a value has been specified below)

_____ **SEK**
 _____ **EUR**
 _____ **DKK**
 _____ **NOK**
 _____ **ISK**
 _____ **EEK**
 _____ **LVL**

► **Total Open Orders Value**
 Total value of all open orders in the market. (Only applicable for order books traded in currencies for which a value has been specified below)

_____ **SEK**
 _____ **EUR**
 _____ **DKK**
 _____ **NOK**
 _____ **ISK**
 _____ **EEK**
 _____ **LVL**

► **Traded Buy Value**
 Total value bought. (Only applicable for order books traded in currencies for which a value has been specified below)

_____ **SEK**
 _____ **EUR**
 _____ **DKK**
 _____ **NOK**
 _____ **ISK**
 _____ **EEK**
 _____ **LVL**

► **Traded Sell Value**
 Total value sold. (Only applicable for order books traded in currencies for which a value has been specified below)

_____ **SEK**
 _____ **EUR**
 _____ **DKK**
 _____ **NOK**
 _____ **ISK**
 _____ **EEK**
 _____ **LVL**

► **Open Orders Buy Value**
 Unexecuted total value allowed for the buy orders currently in the market. (Only applicable for order books traded in currencies for which a value has been specified below)

_____ **SEK**
 _____ **EUR**
 _____ **DKK**
 _____ **NOK**
 _____ **ISK**
 _____ **EEK**
 _____ **LVL**

