Data Services Dashboard

User Guide

Version 1.0
February 2017

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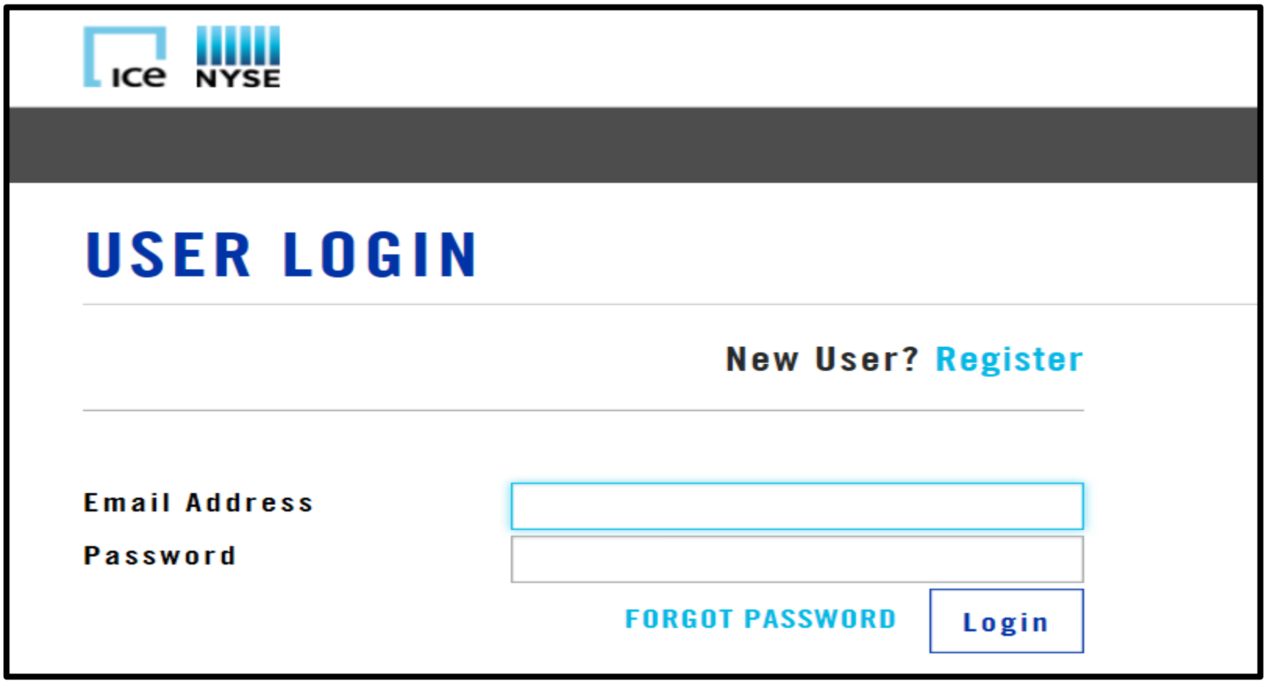
1. Logging into the Data Services Dashboard

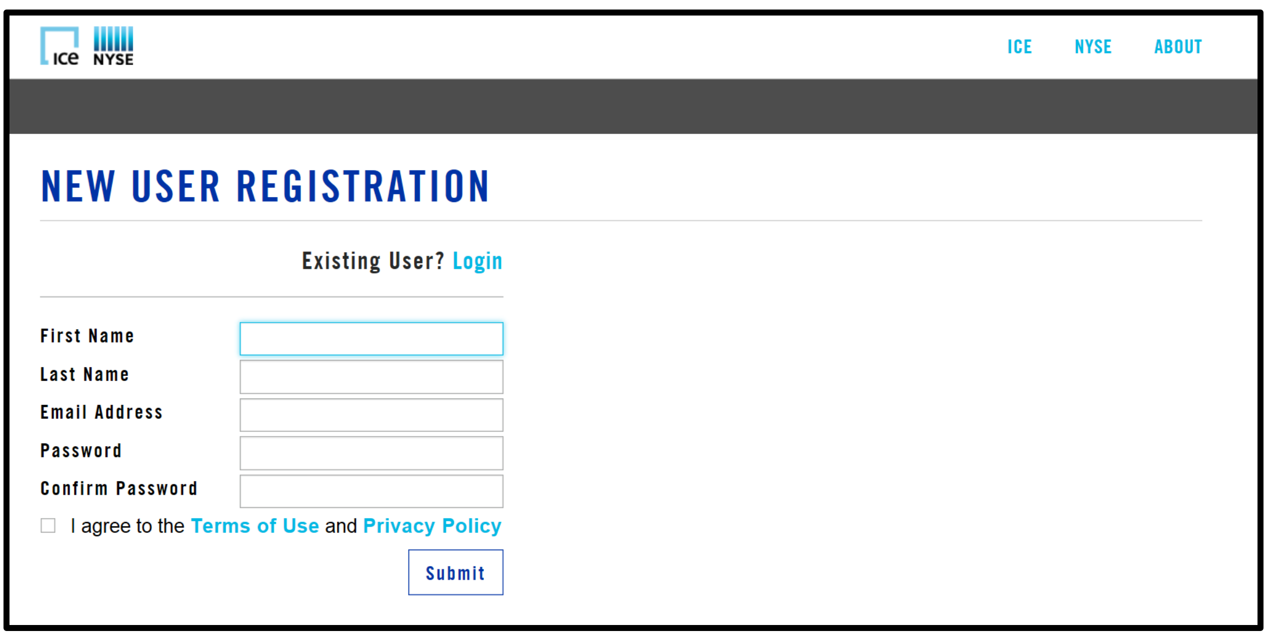
You may access the Data Services Dashboard "Dashboard" via the URL: http://dashboard.theice.com

The Login Screen is shown below. Enter your registered Email Address and Password and click Login.

To Register as a new user click Register.

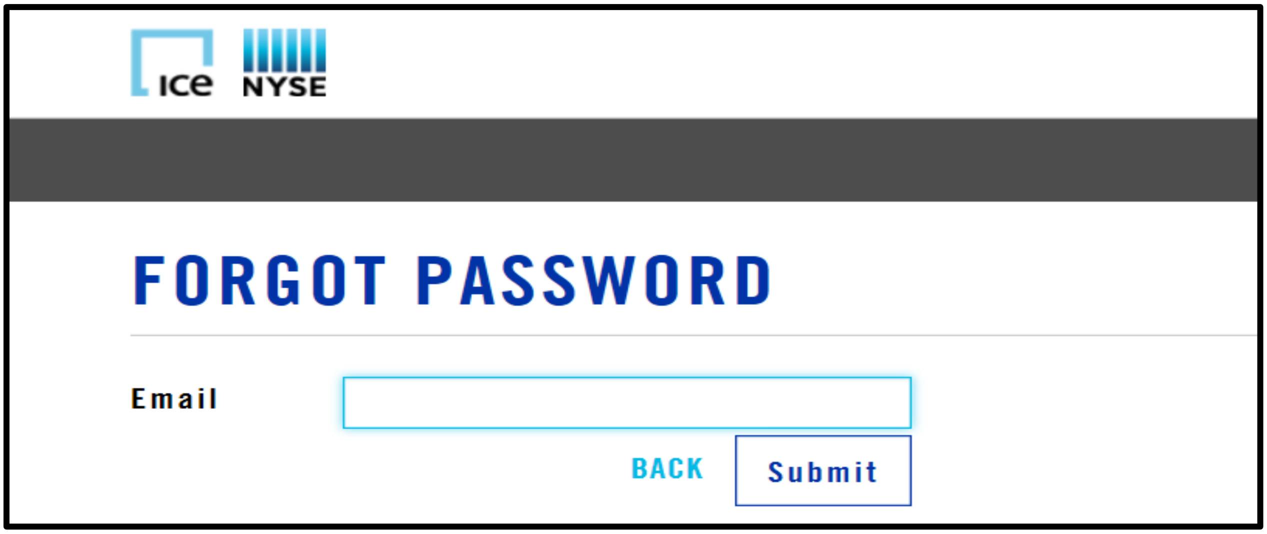


New User Registration: In the new user registration screen enter your contact information and a password, Agree to the Terms of Use and click Submit.



If you have forgotten your login information, click the *Forgot Password* link. The system will display the Forgot Password screen, as shown below.

Enter your email address and click Submit. An email will be sent with a link to reset your password.



2. Accessing the Data Services Dashboard

After logging in, if your profile is linked to:

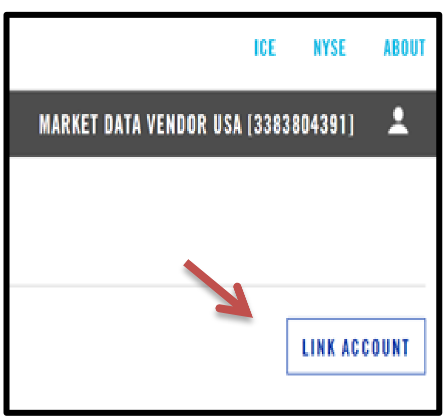
- *One account*:
  - You will be taken to the Dashboard for that account

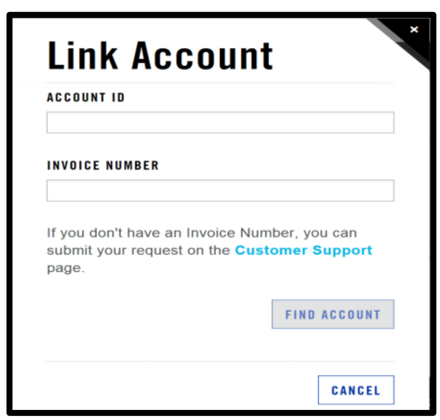
- *Multiple accounts*:
  - You will be taken to the Company Accounts screen, as shown below
  - Select an account by clicking on the account number under the Account ID column

2.1. Adding an account to your user profile

To add an account to your user profile from the Company Accounts Screen (shown above) click Link Account.

In the Link Account pop-up form enter the Account ID and an Invoice Number. You must provide an invoice number that is less than three months old for the referenced Account ID. Once done, click Find Account.

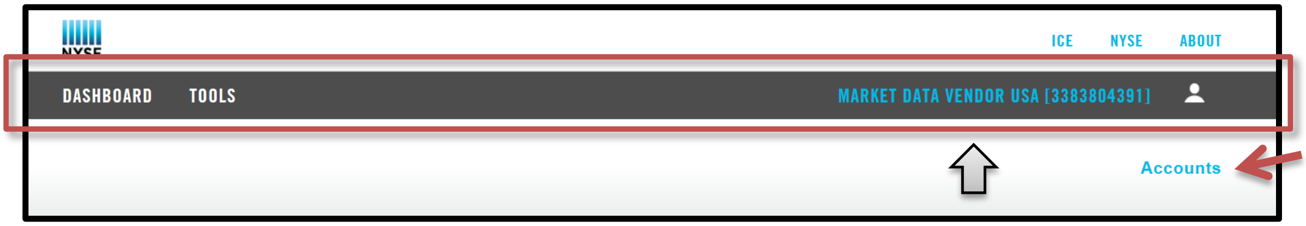




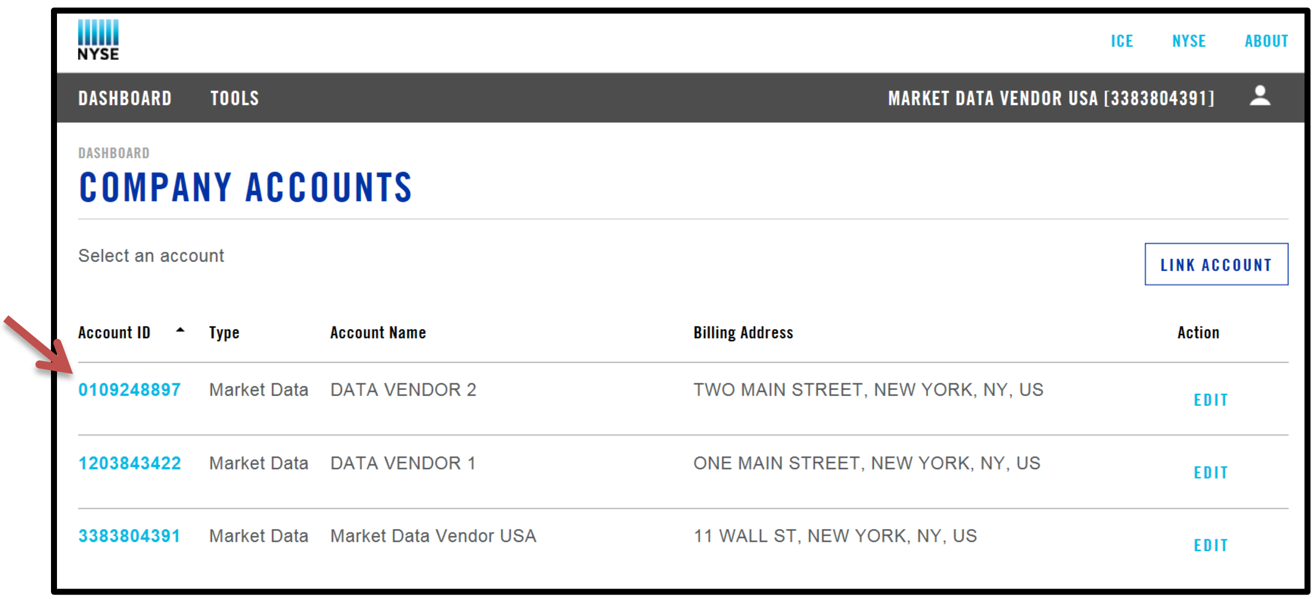
2.2. Switching between multiple accounts

To switch between accounts locate the black navigation bar across the top of the page. Hover your cursor over the account name, an expanded menu drops down displaying the Accounts button, as shown below.

Next, click on the Accounts button.



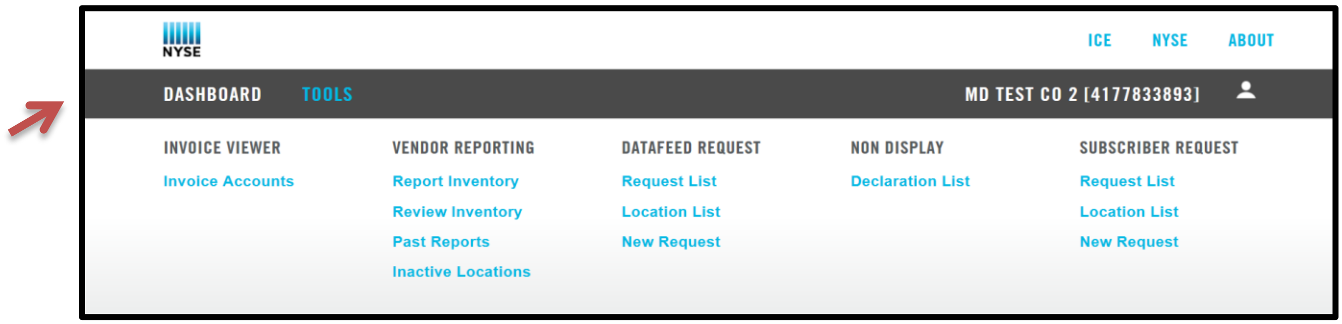
This will take you to the Company Accounts screen. Access your additional accounts by clicking on the account number under the Account ID column.



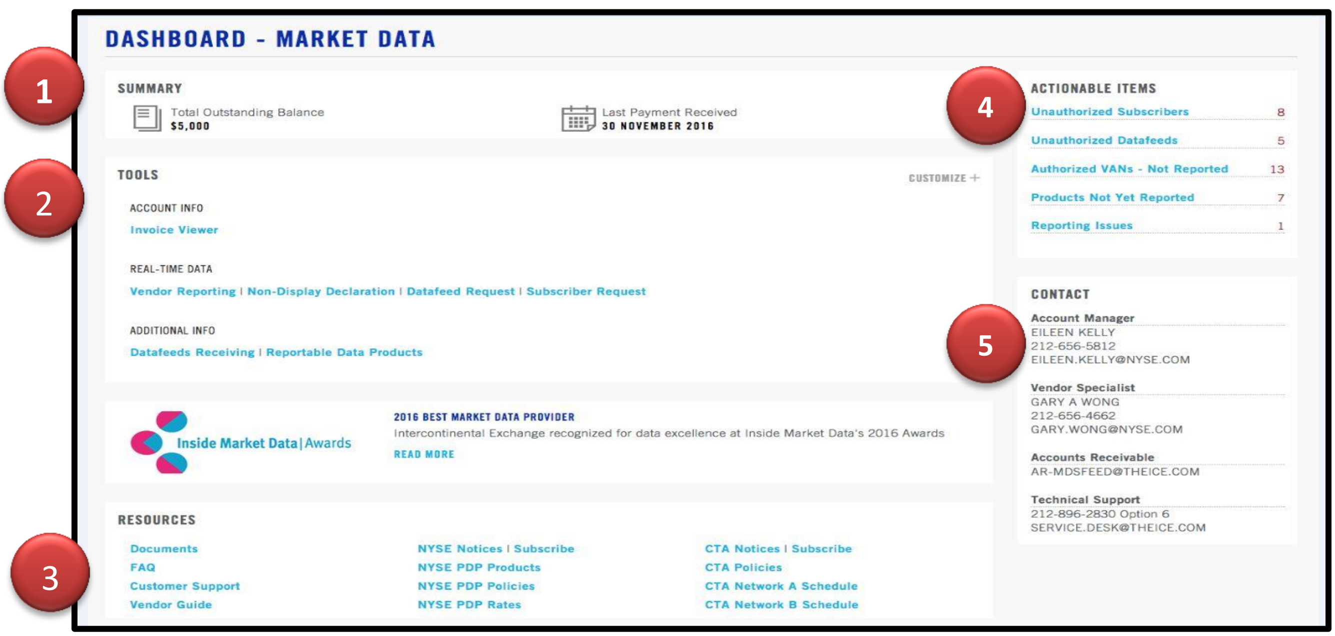
3. Navigating the Data Services Dashboard

Navigate your Dashboard by using the navigation bar at the top of the screen or by selecting an item on the home page by clicking on the item name.

Using the Drop-Down Navigation Bar - When you hover your mouse over one of the sections: Dashboard and Tools, an expanded menu drops down displaying information in that section.



The Dashboard includes five sections, as shown below. The sections you are able to view and use on your Dashboard will depend on your account profile.



(1) **Summary:** Total Outstanding Balance and Last Payment Received

(2) **Tools:** Invoice Viewer, Vendor Reporting, Non-Display Declaration, Datafeed Request, Subscriber Request, Datafeeds Receiving, Reportable Data Products

(3) **Resources:** Includes links to Documents, Product Information, Pricing Guides and Notices

(4) **Actionable Items:** Unauthorized Subscribers and Datafeeds, Authorized Vendor Account Numbers (VANs) – Not Reported, Products Not Yet Reported, Reporting Issues

(5) **Contact Directory:** Displays your Account Manager, Vendor Specialist, Accounts Receivable Contact and Technical Support Contact

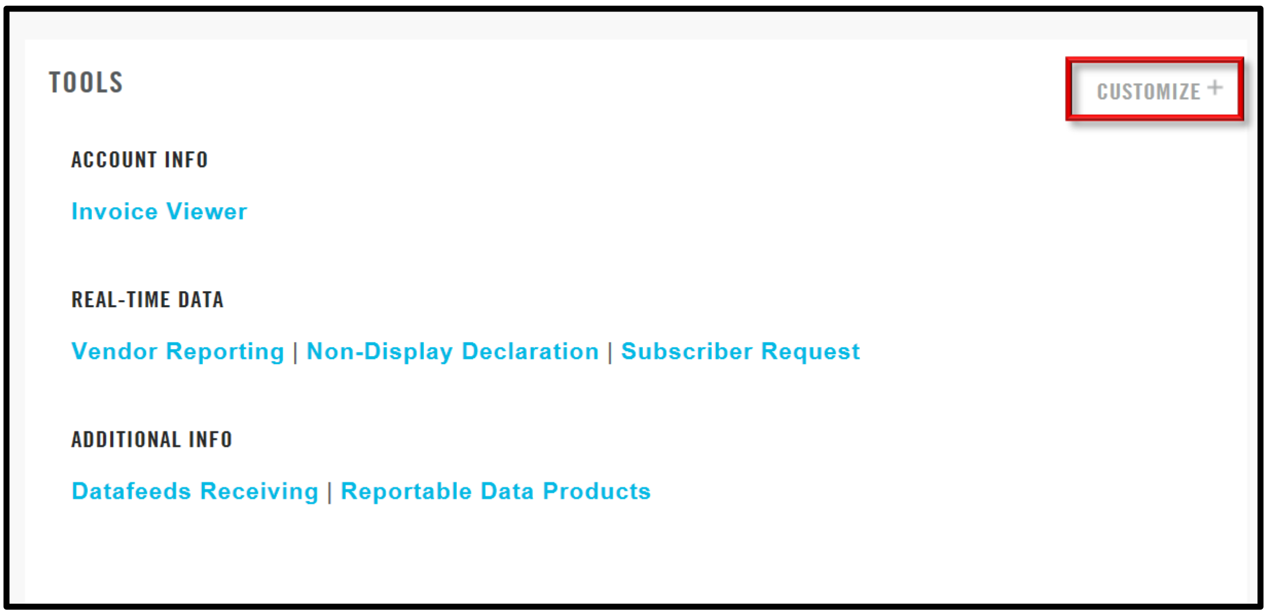
4. Summary

The Summary section displays the total outstanding account balance and last payment received details.

5. Tools

The Tools section contains tools to assist with managing your market data inventory.

The Customize button allows users to add or remove tools that appear under this section. To open a market data tool click on the name of the tool.



Invoice Viewer allows users to view the total outstanding balance, last payment details, current and historical invoices in multiple formats (PDF, CSV, TXT) with the ability to add a purchase order.

Vendor Reporting allows users to submit data usage online or upload VRXML files.

Non-Display Declaration allows users to view and/or submit a Non-Display Declaration.

Datafeed Request is the online process for requesting authorization for datafeed clients.

Subscriber Request is the online process for requesting authorization for data device clients.

Datafeeds Receiving displays a list of datafeeds that your vendor is reporting they are distributing to your firm.

Reportable Data Products displays a list of approved products that your firm can redistribute.

6. Resources

The Resources section contains useful links for market data subscribers.

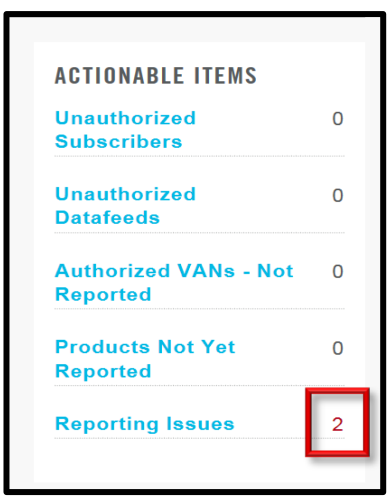
Click on a resource name for additional information:

7. Actionable Items

The Actionable Items section contains a list of compliance issues that require immediate attention.

If there are any open issues in a category the number of issues will be displayed next to the item name and will be highlighted in red.

To view an actionable item click on an actionable item name:



Unauthorized Subscribers: An unauthorized subscriber is a user with access to real-time NYSE market data products without NYSE approval. From this screen you can view a list of unauthorized display device accounts reported by your firm. You can also obtain approval from this screen by submitting a Subscriber Request for the location.

Unauthorized Datafeeds: An unauthorized datafeed is a datafeed product provided to an end user firm without NYSE approval. From this screen view a list of unauthorized datafeed accounts reported by your firm. You can also obtain approval from this screen by submitting a Datafeed Request for the location.

Authorized VANS – Not Reported displays a list of Vendor Account Number (VAN)s that are approved to receive real-time market data, but are not being reported as active in your firm's monthly inventory report.

Use this screen to confirm the VAN status as:

- Order Cancelled
- Never Permissioned
- Pending Install
- Active

Products Not Yet Reported displays a list of products that have been approved to redistribute but are not being reported as active in your firm's monthly inventory report.

Use this screen to confirm the product status as:

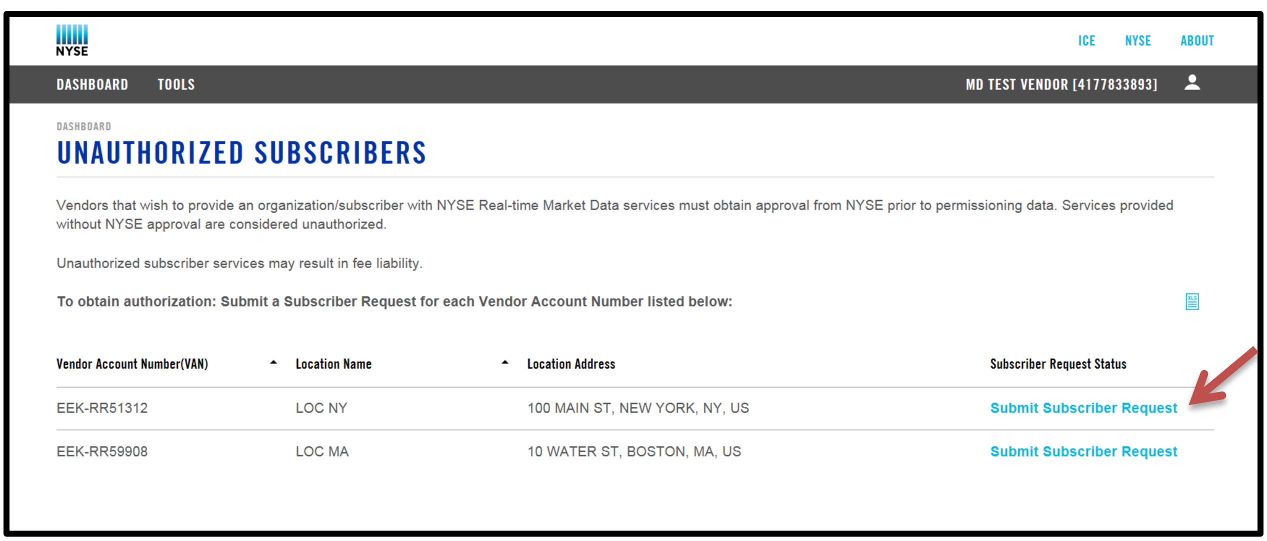
- Active
- Not Yet Active
- No Customers are Subscribing to this Product
- No Longer Offering this Product

Reporting Issues displays a list of reporting issues found after your firm's monthly inventory report has been processed. Use this screen to view the list of reporting issues and to provide a response to each issue.

7.1. Unauthorized Subscribers

In this screen view a list of unauthorized display device locations reported by your firm.

To submit a Subscriber Request for approval, locate the Vendor Account Number (VAN) and click Submit Subscriber Request.



A pre-populated Subscriber Request will load, as shown below. You may edit any of the pre-populated fields. Enter the billing company and contact. All fields marked with an asterisk (*) are required.

NYSE will send an email to the contact listed to complete required documentation electronically.

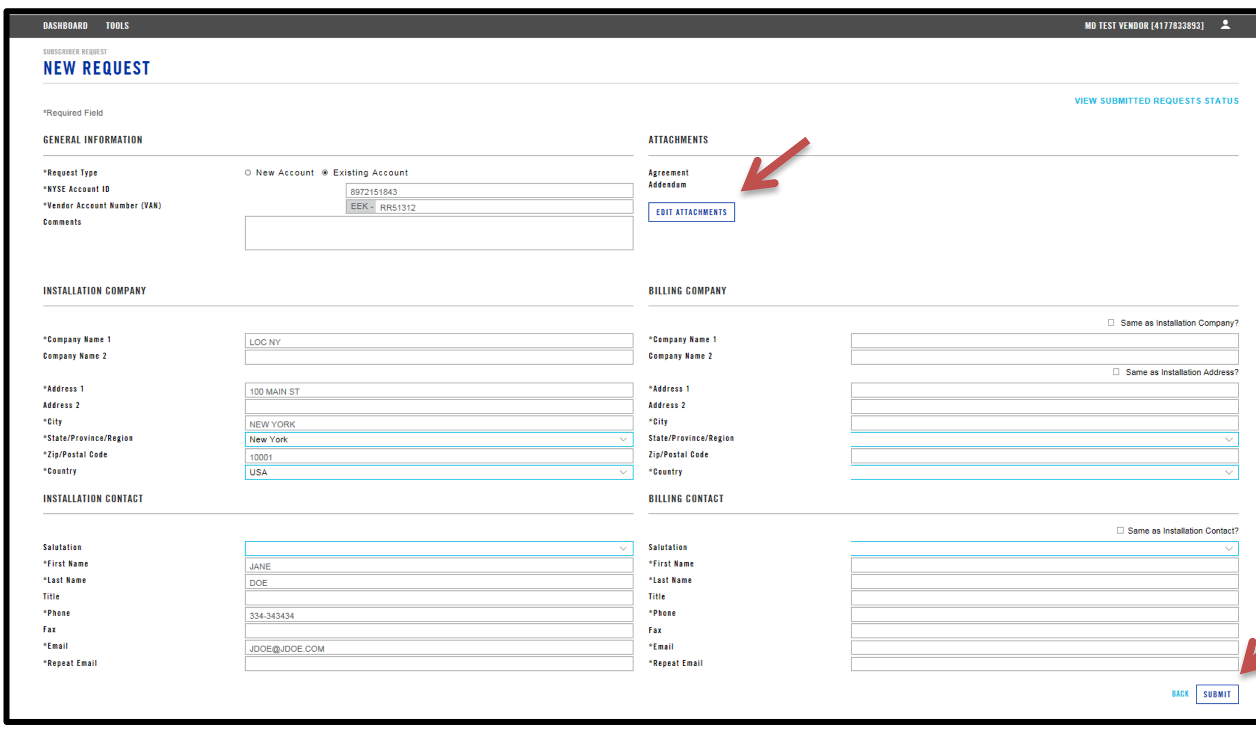
You can also upload required documentation from your computer by using the Edit Attachments button.

<u>Required documents for Professional Subscribers:</u>

- **NYSE Professional Subscriber Agreement**
    - To be completed by the Subscriber
- **Third Party Payment Addendum***
    - To be completed by both the Subscriber and Third Party/Broker

  **Required <u>in addition</u> to the Professional Subscriber Agreement if the Subscriber has a third party/ broker as the responsible billing party for payment for their NYSE fees.*

Once complete, click Submit.

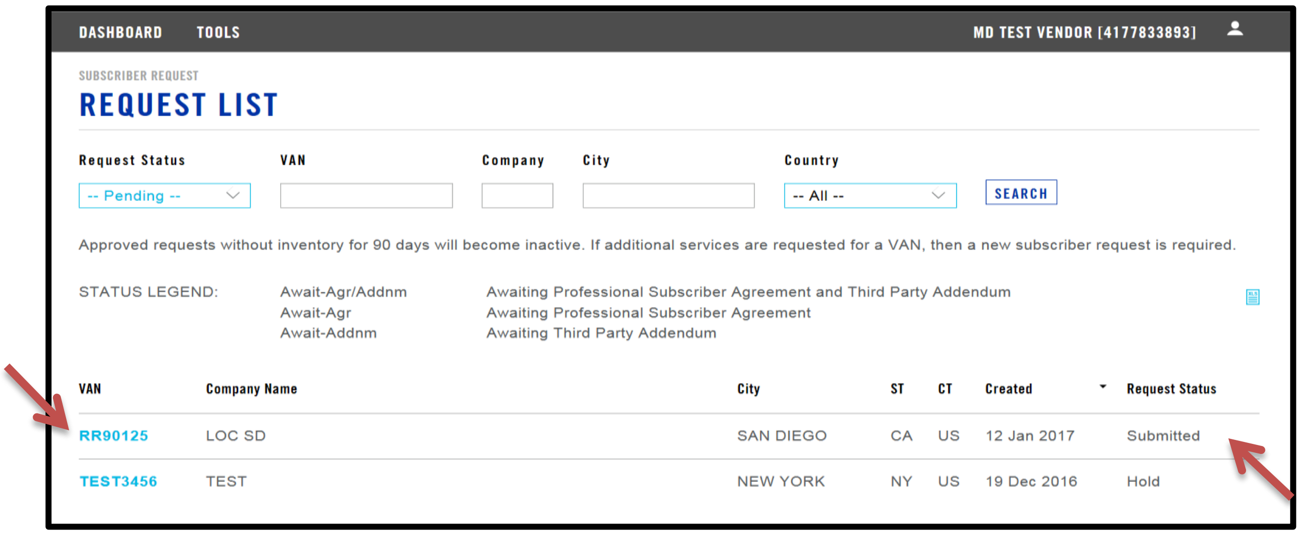


7.1.1. View the status of a Pending Subscriber Request

To view the status of a Pending Subscriber Request from the New Subscriber Request Screen (shown above) click View Submitted Requests Status.

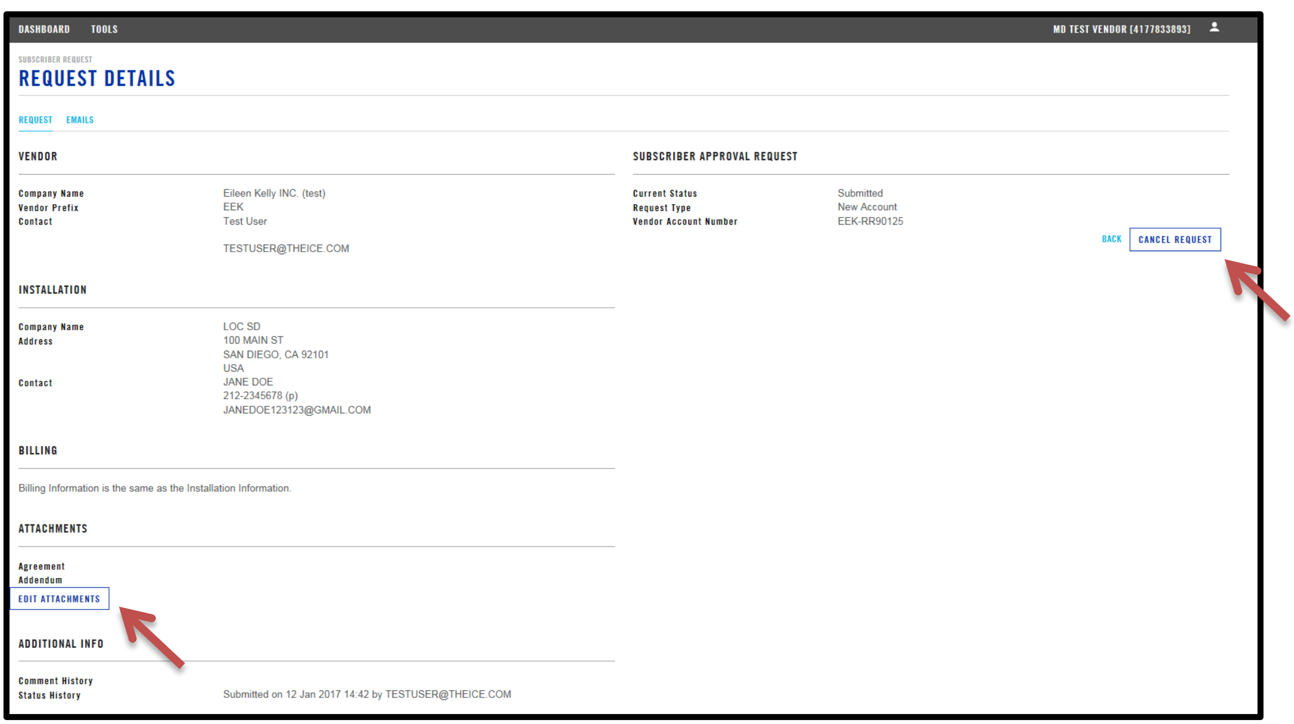
This will take you to the Subscriber Request List Screen, as shown below. This screen displays a list of all Pending Subscriber Requests. The status of the Subscriber Request is displayed under the Request Status column.

To view the details of a Pending Subscriber Request click on the Vendor Account Number (VAN).



The Request Details screen will display, as shown below.

In this screen you can also upload required documentation using the Edit Attachments button or cancel the submitted request by clicking Cancel Request.

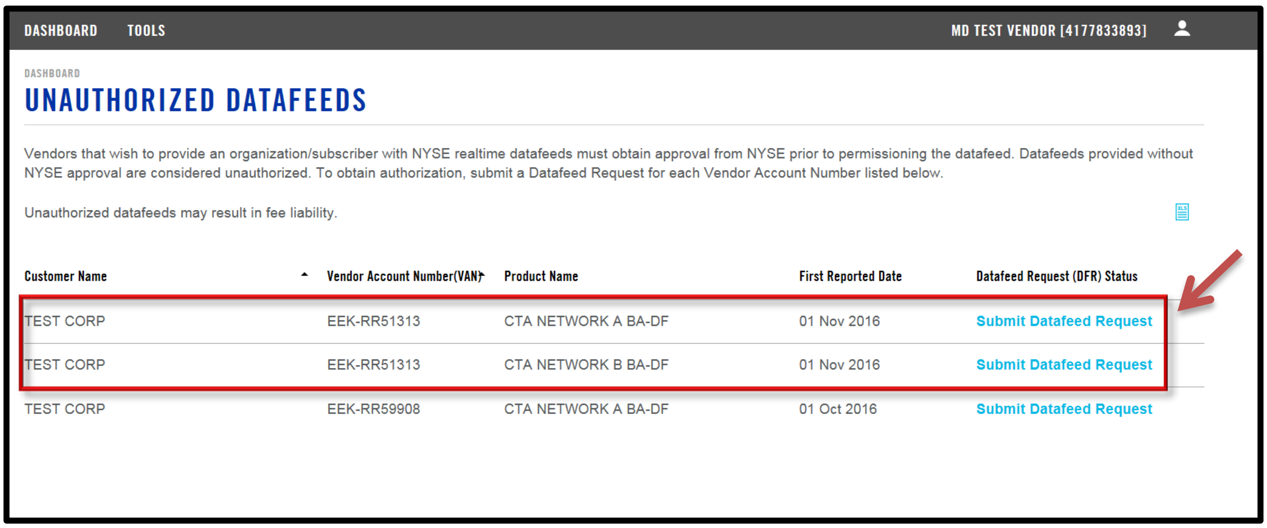


7.2. Unauthorized Datafeeds

In this screen view a list of unauthorized datafeed locations reported by your firm.

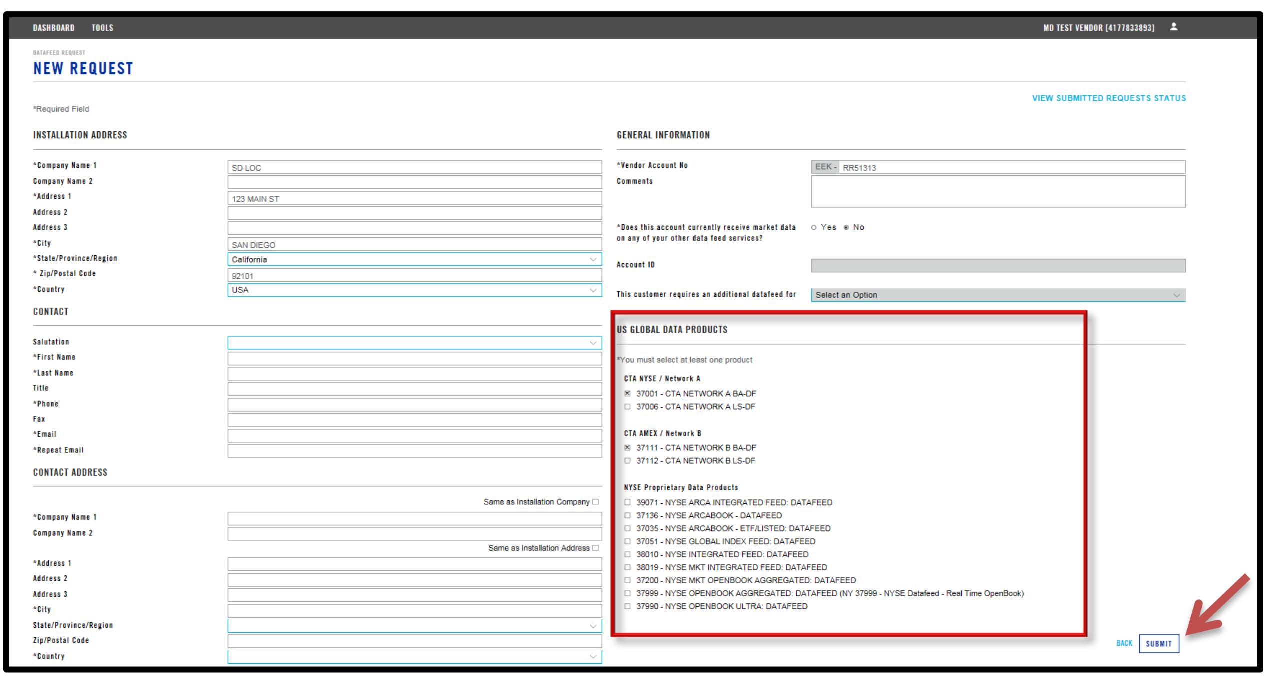
To submit a Datafeed Request for approval, locate the Vendor Account Number (VAN) and click Submit Datafeed Request.

If a location has multiple unauthorized data products listed, as shown below, only one Datafeed Request will be submitted. All unauthorized products reported for the location will be selected in the request.



You may edit any of the pre-populated fields and add additional data products to the request, as shown below. Enter the installation contact details. All fields marked with an asterisk (*) are required.

An email will be sent to the contact listed in the form to complete required documentation electronically. Once complete, click Submit.



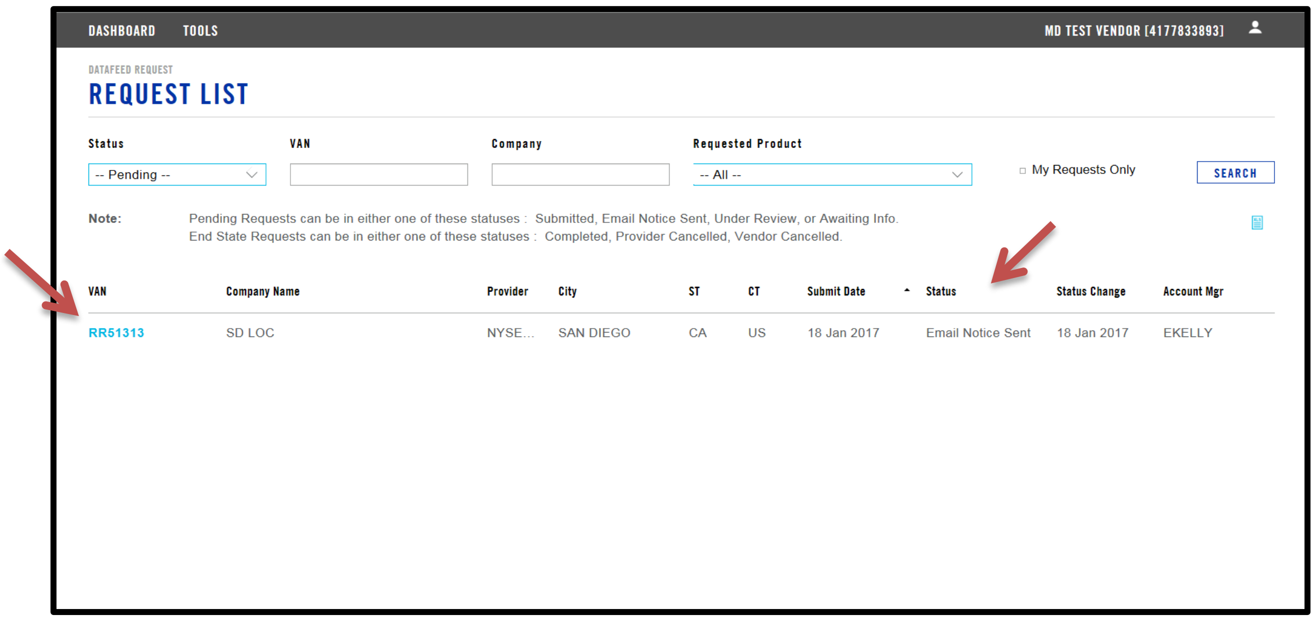
7.2.1. View the status of a Pending Datafeed Request

To view the status of a Pending Datafeed Request from the New Datafeed Request screen (shown on the previous page) click View Submitted Requests Status.

This will take you to the Datafeed Request List Screen, as shown below.

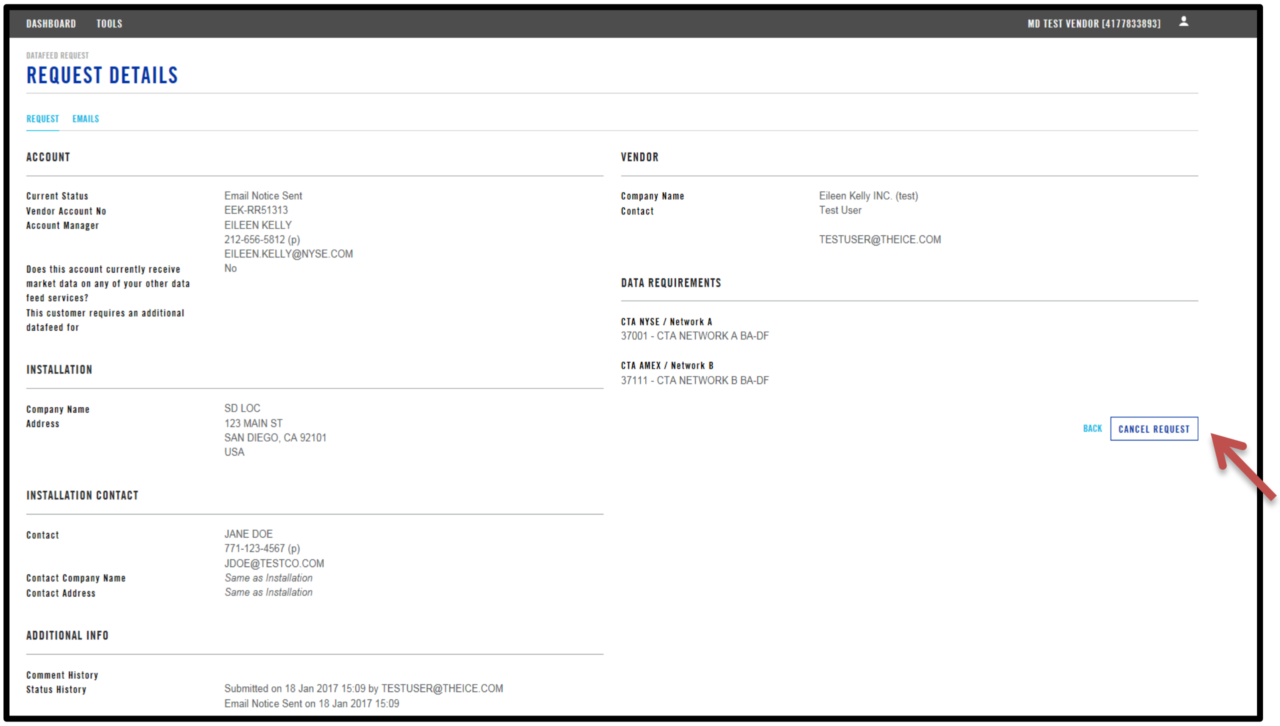
This screen displays a list of all Pending Datafeed Requests. The status of the Datafeed Request is displayed under the Status column.

To view the details of a Pending Datafeed Request click on the Vendor Account Number (VAN).



The Datafeed Request Details screen will display, as shown below.

In this screen you can view the details of the Datafeed Request or cancel the submitted request by clicking Cancel Request.

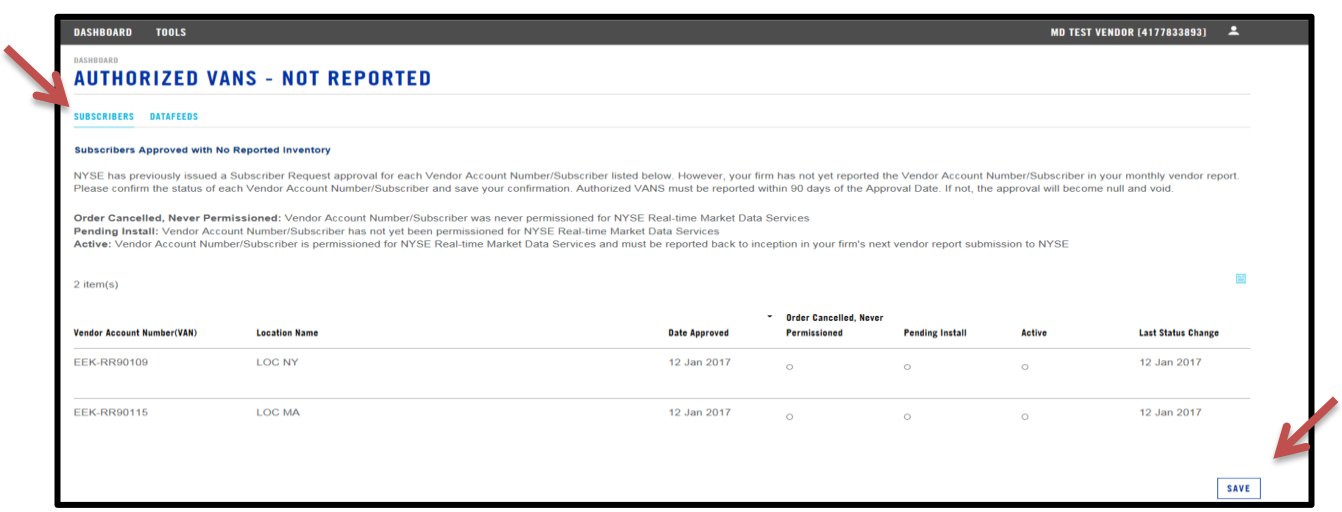


7.3. Authorized VANS – Not Reported

Use this screen to view a list of subscriber and datafeed Vendor Account Numbers (VANs) that are approved to receive real-time market data but not being reported as active by your firm.

Use the tabs to view Subscriber and Datafeed Location Lists.

Confirm the status of the Vendor Account Number (VAN) by selecting the appropriate radio button. To submit your response click Save.



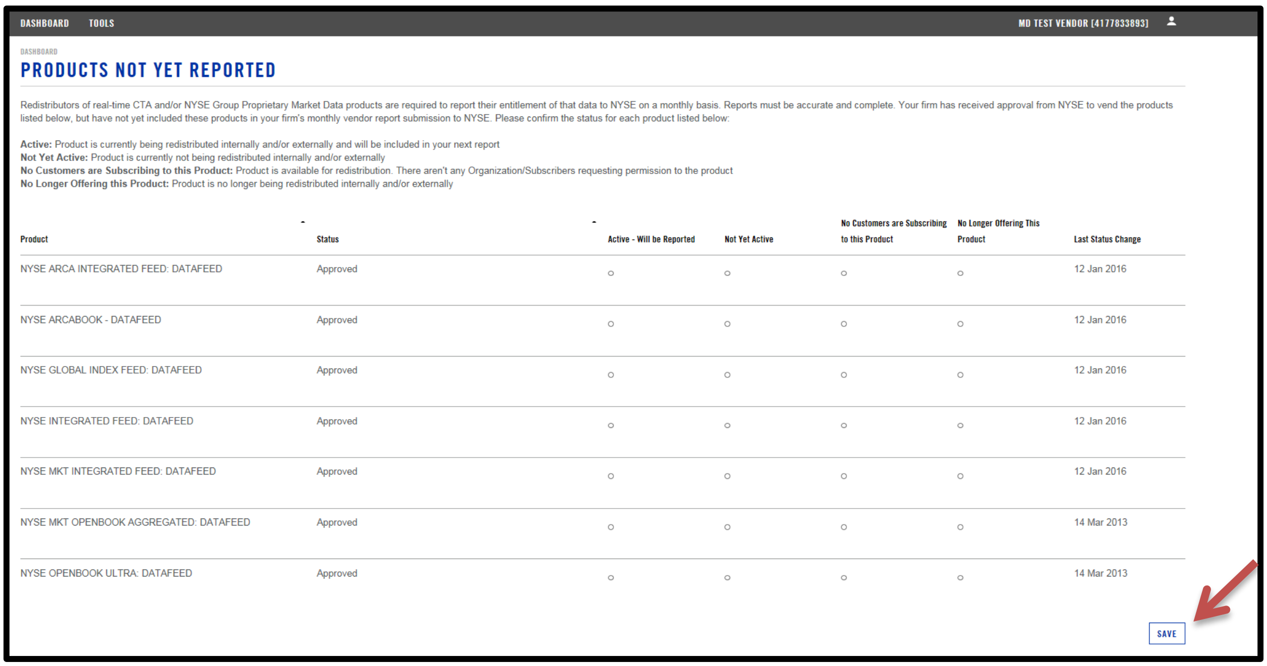
7.4. Products Not Yet Reported

Use this screen to view data products that have been approved for redistribution by your firm but are not being reported as active in your monthly inventory report.

Confirm each data product status by selecting the appropriate radio button.

Products marked with a status of *No Longer Offering This Product* will be removed from your vendor profile as approved for redistribution.

To submit your response click Save.


DASHBOARD TOOLS MD TEST VENDOR [4177833893]

DASHBOARD

PRODUCTS NOT YET REPORTED

Redistributors of real-time CTA and/or NYSE Group Proprietary Market Data products are required to report their entitlement of that data to NYSE on a monthly basis. Reports must be accurate and complete. Your firm has received approval from NYSE to vend the products listed below, but have not yet included these products in your firm's monthly vendor report submission to NYSE. Please confirm the status for each product listed below:

Active: Product is currently being redistributed internally and/or externally and will be included in your next report
Not Yet Active: Product is currently not being redistributed internally and/or externally
No Customers are Subscribing to this Product: Product is available for redistribution. There aren't any Organization/Subscribers requesting permission to the product
No Longer Offering this Product: Product is no longer being redistributed internally and/or externally

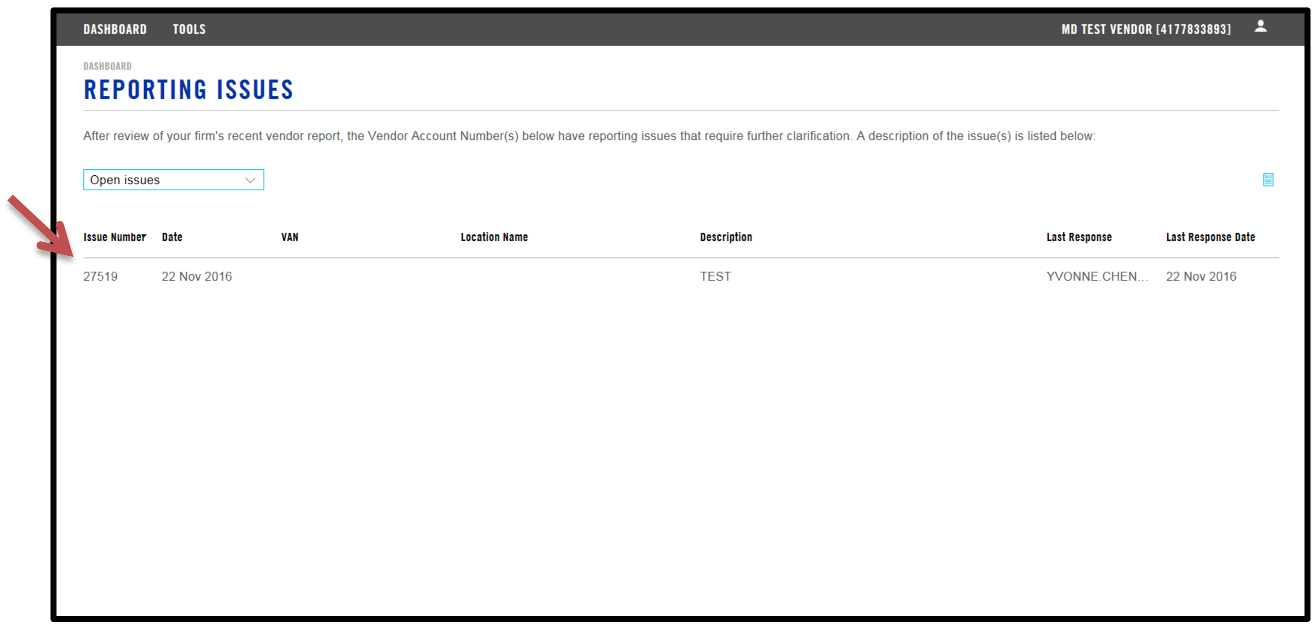
Product	Status	Active - Will be Reported	Not Yet Active	No Customers are Subscribing to this Product	No Longer Offering This Product	Last Status Change
NYSE ARCA INTEGRATED FEED: DATAFEED	Approved	○	○	○	○	12 Jan 2016
NYSE ARCABOOK - DATAFEED	Approved	○	○	○	○	12 Jan 2016
NYSE GLOBAL INDEX FEED: DATAFEED	Approved	○	○	○	○	12 Jan 2016
NYSE INTEGRATED FEED: DATAFEED	Approved	○	○	○	○	12 Jan 2016
NYSE MKT INTEGRATED FEED: DATAFEED	Approved	○	○	○	○	12 Jan 2016
NYSE MKT OPENBOOK AGGREGATED: DATAFEED	Approved	○	○	○	○	14 Mar 2013
NYSE OPENBOOK ULTRA: DATAFEED	Approved	○	○	○	○	14 Mar 2013

SAVE

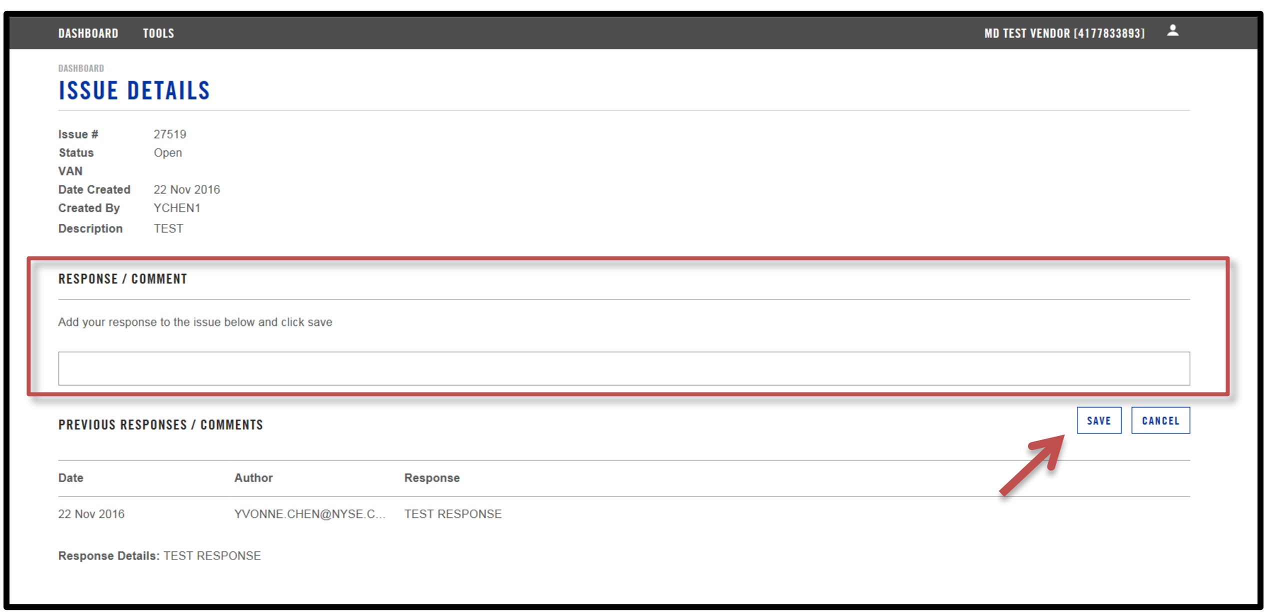
7.5. Reporting Issues

Use this screen to view a list of reporting issues found after your monthly inventory report has been processed.

Click on the Issue Number to view full details of the reporting issue.

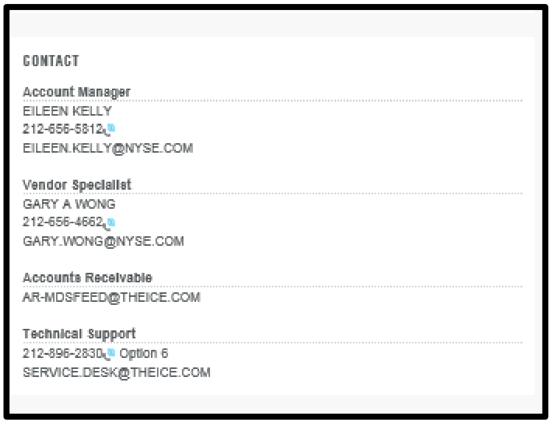


Provide a response for the issue in the Comment Box. To submit your response click Save.



8. Contact Directory

The Contact Directory displays your assigned Account Manager, Vendor Specialist, Accounts Receivable Contact and Technical Support Contact.



9. Logout

To log out of the Data Services Dashboard locate the top navigation bar. Hover your cursor over the profile icon. An expanded menu drops down displaying the Logout button, as shown below.