

Nasdaq Approved Publication Arrangement (“APA”) Cancellation and Amendment policy

Firms reporting OTC trades are obliged to make sure that they report correct data to their APA.

If Nasdaq APA customer discovers that Nasdaq has received erroneous trade data, they should as soon as possible cancel the trade.

All cancellations should be done by cancelling the original transaction and submitting a new trade report.

It is possible to amend all reported fields except the field “Time of Agreement”. Amendment is preferred over cancellation in cases where the economics of the trade has changed since first reported.

Cancellation of trades initially reported via front-end Nordic Workstation can only be done by contacting operator@nasdaq.com.

Clients reporting via API (FIX or OMnet) can cancel and amend trades up to one year following initial publication.

In case customers need help to amend or cancel trades due to technical problems in their own systems, Nasdaq Operator can be contacted on operator@nasdaq.com or tradingoperations@nasdaq.com.

Nasdaq APA reserves the right to, in cases where a transaction is deemed clearly erroneous, to cancel the trade on behalf of the client. Where Nasdaq cancels a Publication without request from the client, the relevant party will be informed of the cancellation as soon as possible and instructed to send a new trade as soon as possible.

All cancellations and amendments are charged according to the Nasdaq APA applicable fee schedule.