



EQUITIES PORT REQUEST FORM

ORDER TYPE

Addition Removal Change to Existing Service Bureau (only check if you are a Service Bureau)

PORT DETAILS

Connectivity Site: IEX POP: Secaucus (Hot/Primary) Disaster Recovery: Chicago (Cold/Secondary)
 IEX Test Facility ("ITF"): Secaucus (Non-Production)

Type of Access: Cross-Connect 3rd Party Extranet: _____

Drop Copy Port: New Existing SenderCompID: _____
 Qty: _____ MPID(s) to Drop: _____

Message(s) to Drop: Fills Breaks Statuses (Acks, Cancels, Rejects, etc.)

Order Entry Port: Qty: _____

Order Entry Port Minimum Required Configurations:

Clone an Existing Port? Yes No SenderCompID: _____

Routing Enabled? ⁽¹⁾ Yes No

Ignore Routing Instruction for Pegged Orders? ⁽²⁾ Yes No SenderCompID: _____

Allow ISO Orders? Yes No

Symbology Type? (Choose one only) INET CMS CMS Split

Allow Market Orders? Yes No

Allow Short Sale Orders? Yes No

Default Odd Lots to Hidden? ⁽³⁾ Yes No SenderCompID: _____

Allow Trading in Pre- & Post-Market Sessions? Yes No

Allow Trade Busts? Yes No

Cancel on Disconnect? ⁽⁴⁾ (Choose one only) All All, excluding On-Open/Close None

Enable Anti-Internalization (AIQ)? ⁽⁵⁾ Yes No

 If Yes: Default by Broker or MPID? Broker MPID

 If Yes: Agency and/or Principal? Agency Principal

 If Yes: Report AIQ Fields? Yes No

Is this Session Intended for Sponsored Access? Yes No

Opt-Out of Receiving D-Limit Restatements? ⁽⁶⁾ Opt-out - All Opt-out -Drop Copy

Max Order Share Size: (Default = 1,000,000 shares) _____

Max Order Notional Value: (Default = \$30,000,000) _____

MPID(s) Permissioned on this Port: _____

Clearing # Assignment for MPID(s): _____

Anticipated Total Message Volume per Day: _____

Anticipated Message to Trade Ratio: _____

Anticipated Peak Message Rate (msg/second): _____

Allow Retail Orders on All Ports Specific Ports (List Specific Ports in Comments)

Instruct IEX to Default All Orders Received on the following Port(s) as Retail Orders: _____



Note: Each port is delivered as a primary logical port at the requested IEX data center.

Users may request to increase the max order share size and max order notional value parameters to be less restrictive than the IEX default values. IEX Market Operations will record and review all requests to increase order limits.

REMOVAL REQUEST

Order Entry Port	<input type="checkbox"/> SenderCompID(s): _____	Reason for Removal: _____
Drop Copy Port	<input type="checkbox"/> SenderCompID(s): _____	Reason for Removal: _____

ADDITIONAL COMMENTS OR REQUEST NOTES

ORDER AUTHORIZATION

MPID(s) / Company Name:

Authorized Contact (Please Print):

Authorized Signature:

Date:

- Users who wish to enable routing must complete and submit a Securities Routing Agreement referenced in the [Member Application](#) and found in the [Member Agreements](#).
 - Pegged orders (FIX Tag 40 = P) are not eligible to route (see IEX Rule 11.190(a)(3)), so the IEX system by default rejects any pegged order for which FIX Tag 18 is populated with "u" instead of the applicable pegged order type instruction. By checking this box, User instructs IEX to ignore a routing instruction on a pegged order and instead treat the order as a Midpoint Peg order (FIX Tag 18=M). See IEX Rule 11.190 ("Order, modifier, and parameter combinations which are disallowed by the Exchange may be rejected, ignored, or overridden by the Exchange, as determined by the Exchange to facilitate the most orderly handling of User instructions.").
 - If unspecified, default treatment for Odd Lot orders is displayed. If "Default Odd Lots to Hidden?" option is set to "Yes," then Odd Lot orders with omitted MaxFloor (FIX Tag 111) will be non-displayed.
 - All: Cancel all open orders (Continuous Book, On-Open, and On-Close). If a disconnect occurs between the Lock-in Time and the auction match, orders that are locked-in for the auction will not be canceled. For the Opening Auction, any unfilled portion of DAY and GTX limit orders will be canceled at the conclusion of the auction match in a manner similar to Limit-On-Open ("LOO") orders. All, excluding On-Open/On-Close: Cancel all open orders, excluding On-Open and On-Close orders. None: Do not cancel any open orders.
- The Exchange provides a best effort attempt to cancel all open orders from a User upon a communications disconnection. A loss of connectivity signal must travel through the IEX POP before IEX becomes aware of the loss of connectivity. There is no guarantee that the automatic cancel feature provided by the Exchange will be error free or will operate without interruption. By signing above, you agree and acknowledge that the Exchange is not liable or responsible in any way for any orders which may fail to be canceled using the automatic cancel feature. Members may call IEX Market Operations at 646.343.2310 to verbally request that all open orders be canceled or check the status of open orders.
- AIQ is an optional functionality that enables a User to prevent two of its orders from executing against each other. A User can set a default AIQ group for each port, which will prevent the User's orders from self-matching against orders originating from either the same Member (broker) or MPID. Users that select "Report AIQ Fields" on this form will receive a cancel/restatement message for each order that was cancelled because it was subject to AIQ. Please refer to IEX Rule 11.190(e) and IEX's FIX specifications for additional information.
 - Any time a D-Limit order's resting price is adjusted, the Exchange will send a restatement message to the Member that entered the order notifying it of the price adjustment as well as to any drop copy recipients expressly authorized by the Member. By opting-out of receiving D-Limit restatement messages, the Member acknowledges that it is entitled to receive restatement messages (including to drop copy recipients) but is directing IEX to not transmit such restatement messages. Members that have opted out of receiving D-Limit restatement messages can revoke the opt-out by submitting an updated IEX Equities Port Request Form.

All services and products requested on this form are governed by the terms in the User Agreement and the Exchange Rules.

If you do not receive a written confirmation from IEX within three (3) business days that your request has been received and processed, please contact IEX Market Operations at 646.343.2310 or marketops@iextrading.com. Please refer to the IEX Fee Schedule posted at <https://exchange.iex.io/resources/trading/fee-schedule/> for the latest price list.