

Personal and Employment Data Questionnaire

Step 1: Personal and Employment Data Questionnaire

The following information is required to evaluate your qualifications to receive market information from the New York Stock Exchange, American Stock Exchange, National Association of Security Dealers, Inc. and Options Price Reporting Authority at non-professional rates. All sections must be completed in order to be approved for non-professional rates.

Applicant's Name: _____

Social Security No: _____

Telephone No: _____

Home Address: _____

Applicant's Occupation: _____

Street Address where service
will be installed: _____

Name of applicant's present
employer: _____

Employer's Address: _____

Employer's Telephone: _____

Applicant's Title: _____

Market Data Intent of Use: _____

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Step 2: Investor Status—Are You a Pro or Non-Pro?

The following true/false questions will help you determine your status as a non-professional or professional investor. Don't be put off by all the heavy legalese—it's required by the exchanges, who are very particular about anyone looking at real-time data. Circle your response.

I am subscribing in an individual and personal capacity, and neither as a principal, officer, partner, employee or agent of any business nor on behalf of any other individual.

TRUE FALSE

I am not registered or qualified with the Securities and Exchange Commission, the Commodities Futures Trading Commission, any state securities agency, any securities exchange association, or any commodities or futures contract market or association.

TRUE FALSE

I am not engaged as an investment advisor; as that term is defined in Section 202 (a) (11) of the Investment Advisors Act of 1940 (whether or not registered or qualified under that act).

TRUE FALSE

I am not employed by a bank or other organization exempt from registration under Federal or state securities laws to perform a function that would require me to be so registered or qualified if I were to perform such functions for an organization not so exempt.

TRUE FALSE

I do not plan to use the real-time data provided with this service for any commercial or business purposes.

TRUE FALSE

I attest that the above information is correct.

Signature _____ Date _____