UTP PLAN ADMINISTRATION

VRXLS DETAILED REPORTING INSTRUCTIONS

Detailed Usage Reports are to be submitted by Vendors on a monthly basis and no later than 15 days after the end of the applicable service period. Please see UTP Data Policies for reporting requirements. Detailed Usage Reports are to be uploaded via the NORA Reporting Application under the Detailed Reporting tab. Report Title ID is required if the Detailed Report includes items that are billed to your firm. NORA will sum up the quantities for the corresponding product/reporting month and automatically enter the total into Summary Usage Reporting. Report Title ID can be found in NORA under the Usage Reporting tab for each Report Title Name.

SUGGESTED USAGE REPORTING CODES FOR UTP LEVEL 1

UTP Plan Administration provides a list of suggested product codes for Vendors to use to report UTP Level 1 Services below. Vendors must receive prior approval from UTP Administration to use codes other than the suggested codes.

Billable Product Codes	Description
100172	UTP Level 1 Professional-Internal
993384	UTP Level 1 Professional-External
100178	UTP Level 1 Non Professional
100175	UTP Level 1 Per Query
100179	UTP Level 1 Cable Television Ticker Pilot Fee
100176	UTP Level 1 Voice Response System
Real-Time Data Feed Product Codes	Description
UTP1DFRI	UTP Level 1 Real-Time Indirect Access Data Feed
UTP1DFRV	UTP Level 1 Real-Time Indirect Access Data Feed Redistributor
UTP1DFRD	UTP Level 1 Real-Time Direct Access Data Feed
UTP1DFRW	UTP Level 1 Real-Time Direct Access Data Feed Redistributor
Delayed Data Feed Product Codes	Description
UTP1DFDL	UTP Level 1 Delayed Data Feed
UTP1DFDV	UTP Level 1: Delayed Data Feed Redistributor
Non-Billable Product Codes	Description
UTP1AWVR	UTP Level 1: Academic Waiver
UTP1NBLL	UTP Level 1: Non-Billable Professional
Non-Display Hosted Product Codes	Description
925735	UTP Level 1 Real-Time Indirect Access Data Feed Hosted
973924	UTP Level 1 Non-Display Internal Use -HOSTED

VRXLS BUSINESS REQUIREMENTS FOR DETAILED USAGE REPORTING

VRXLS REPORT FORMAT:

In order to successfully upload a VRXLS file, the file must conform to the requirements listed below. Each VRXLS file is to follow the below requirements for the File Name, Header and Detail Row Data Elements.

Please see VRXLS Template. The acceptable file extension/format for VRXLS is .xls,.csv or .xlsx.

1. FILENAME FORMAT

The name of the file must be in the format "CSV_DISTRID_YYYYMM_UTP".

- CSV is a constant.
- DISTRID is the four-character Vendor ID, for example ABCD. Your firm's four-character Vendor ID can be found on the HOME page of your NORA account, next to your firm's Vendor Name. This ID is assigned by UTP Administration.
- YYYYMM is the year and month of the file, for example 201701 for January 2017.
- UTP is a constant.

2. HEADER ROW DATA ELEMENTS FORMAT

The Header Row **must** be in the format shown below:

Column Position	Type	Row	Description
A	Text	1	Vendor Name: Name of the firm submitting the usage report
A	Text	2	Vendor Address 1
A	Text	3	Vendor Address 2
A	Text	4	Vendor ID: Four-character Vendor ID, for example ABCD. Your firm's four-character Vendor ID can be found on the home page of your NORA account, next to your firm's Vendor Name. This ID is assigned by UTP Administration.
A	Text	5	Vendor Contact Name
A	Text	6	Vendor Contact Email
A	Numeric	7	Vendor Contact Telephone

3. DETAIL ROW ELEMENTS

Your firm will assign each Data Feed Recipient, Subscriber Firm or each individual Subscriber (referred jointly as "Subscriber"), a unique "Account Number" (also referred to as a 'VAN' or 'Vendor Account Number') and indicate the location address. Data product inventory is then to be added for each Vendor Account Number at a specific location for the service month, starting on the first of the month and ending on the last day of the month. Vendors are to report the data product inventory for each Subscriber for each month until service is terminated. Begin Column Headers in Column A, Row 9 EXACTLY as it appears below. The first header is SUBNAME. Begin the entry of the Detail Row Elements on Column A, Row 10. All fields are required with the exception of ADD2 and ADD3. RPTID (Report Title ID) is required if billable items are included in the report. In the event that Per Query products or other data products that do not have a Subscriber name and address need to be reported, use the name of your firm as the Subscriber name, and include your firm's other information in the row.

Column / Row Position	Type	Maximum Length	Column Header (Description)
Column: A Row: 10	Text	64	**SUBNAME** Subscriber Name receiving the data (Firm ABC)
Column: B Row: 10	Text	64	**ADD** Subscriber Address Line 1
Column: C Row: 10	Text	64	**ADD2** Subscriber Address Line 2 (Optional)

Column: D Row: 10	Text	64	**ADD3** Subscriber Address Line 3 (Optional)
Column: E Row: 10	Text	32	**CITY** Subscriber City
Column: F Row: 10	Text	3	**STATE OR PROVINCE** Subscriber State or Province
Column: G Row: 10	Text	15	**POSTAL CODE** Subscriber Zip Code
Column: H Row: 10	Text	2	**COUNTRY** Subscriber Country Code **(Must be 2 digit code)** IOS Country Codes
Column: I Row: 10	Text	32	**VAN** Vendor Account Number is a unique number assigned by your firm to the Subscriber
Column: J Row: 10	Text	32	**PROCODE** Vendor's Product Code – Unique product code assigned to each UTP Level 1 data product by your firm. Refer to this link for a list of Suggested Detailed Usage Reporting Codes or see page 1 of this document. Vendors must receive prior approval from UTP Administration to use codes other than the suggested codes.
Column: K Row: 10	Text	8	**SUBEFFDATE** Effective Date of the Reporting Month YYYYMMDD. The day is required to be the first day of the month. For example, January 1, 2017 is 20170101.
Column: L Row: 10	Numeric	Integer	**QUANTITY** Total Product Inventory provided to the Subscriber for the SUBEFFDATE in Column K.
Column M Row: 10	Numeric	9	**RPTID** Report Title ID is a unique number assigned to the report title for a specific product. Please see Usage Reporting tab for the Report Title ID. This field is mandatory if billable items to your firm are included in the report. NORA will automatically sum up the quantities and enter the total number into the corresponding Usage reporting field in the Usage Reporting tab. Report Title ID is not required for datafeeds.

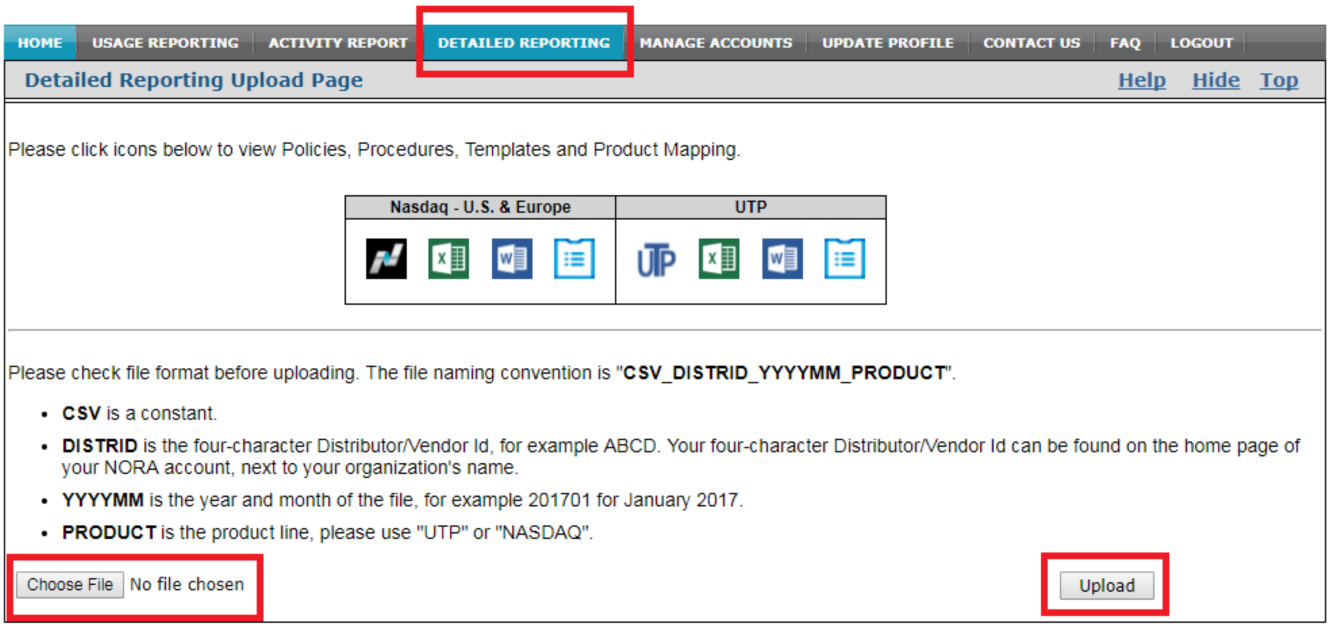
EXAMPLE: VRXLS FORMAT

TEST												
XX State Street, 1st Floor												
New York, NY												
VID: TEST												
Contact: Mr. Test												
Email: marketdata@test.com												
Telephone: XXX-XXX-XXXX												
SUBNAME	**ADD1**	**ADD2**	**ADD3**	**City**	**State**	**POSTAL CODE**	**Country**	**VAN**	**PROCODE**	**SUBEFFDATE**	**QUANTITY**	**RPTID**
Datafeed 1	Two Test Lane	5th Floor		Test	MA	02210	US	POTA-NY1	9	20170701	1	
Datafeed 2	Two Test Lane	5th Floor		Test	MA	02210	US	POTA-NY2	99	20170701	1	
Datafeed 3	Two Test Lane	5th Floor		Test	MA	02210	US	POTA-NY3	999	20170701	1	
Datafeed 3	Two Test Lane	5th Floor		Test	MA	02210	US	POTA-NY4	9999	20170701	1	
Subscriber 1	Two Test Lane	5th Floor		Test	MA	02210	US	POTA-NY5	99999	20170701	1	XXXXXXXXX

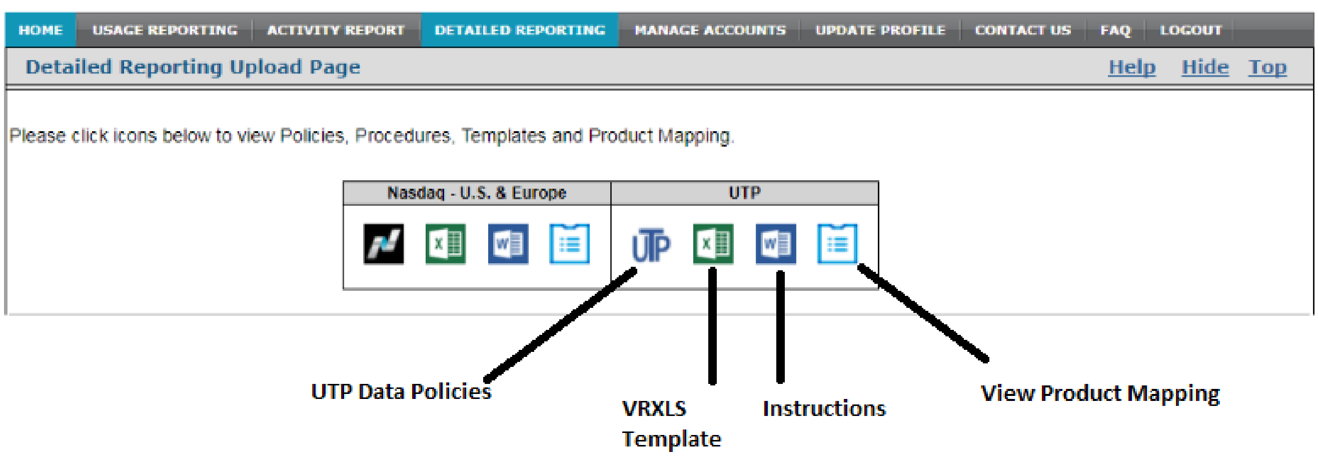
UPLOADING DETAILED REPORTING

In order to upload a Detailed Report, please follow the instructions below.

1. Log into NORA and select the Detailed Reporting tab.
2. Select ‘Choose file’ to browse and select the file, with naming convention “CSV_DISTID_YYYYMM_UTP”.
3. Select upload.
4. Upon a successful submission you will receive a notification email for receipt of the Report submission and a second email upon processing. If errors are found, please correct and reload the file. The name of the file does not need to change when reloaded.



Detailed Reporting Dashboard:

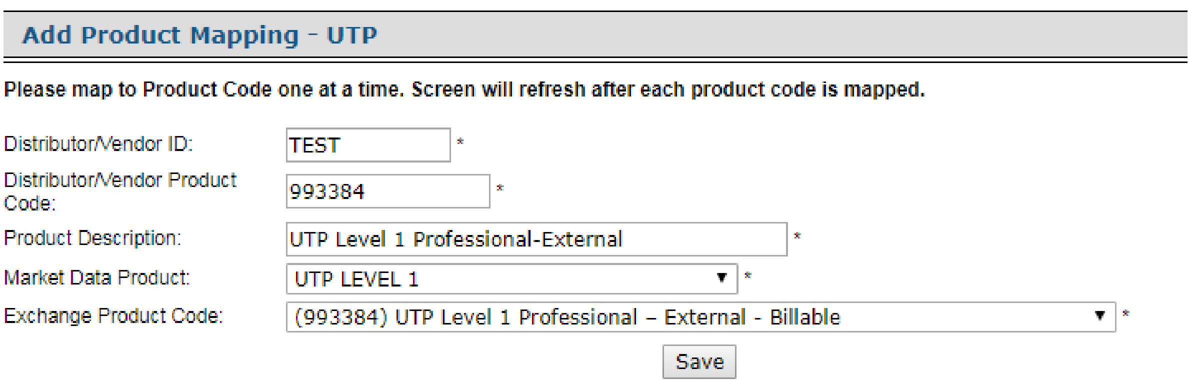


MAPPING TO EXCHANGE PRODUCT CODE

In order to successfully upload a VRXLS file, the Distributor/Vendor Product Codes must be mapped to the appropriate Exchange Product Code. Please view your firm’s current product code mapping by clicking the corresponding icon on the Detailed Reporting Dashboard. If new codes have not been mapped, NORA will alert the user with an error message upon file upload and direct users to the mapping page. Alternatively, users may map codes prior to file upload. Please follow the instructions below to map new product codes. Product codes only need to be mapped once.

1. In NORA, go to the Detailed Reporting tab
2. Click on Add/View Product Mapping icon
3. In the Add Product Mapping-UTP, please complete the following:
   - Enter your four character Vendor ID. Your firm's four-character Distributor/Vendor ID can be found on the home page of your NORA account, next to your firm's Vendor Name. This ID is assigned by UTP Administration.
   - Enter the Distributor/Vendor Product Code. For Example: 993384. Please see suggested UTP Detailed Reporting Codes.
   - Enter the Product Description: For example: UTP Level 1 Professional-External.
   - In the drop down list under Market Data Product, select UTP Level 1.
   - In the drop down list under Exchange Product Code, select the one that correlates with the selection you entered under Vendor Product code. Example: (993384) UPT Level 1 Professional- External-Billable.
4. Select save.
5. Once the products are mapped, please re-upload your file by selecting "Upload file" under the Detailed Reporting tab.

EXAMPLE: PRODUCT MAPPING


Add Product Mapping - UTP

Please map to Product Code one at a time. Screen will refresh after each product code is mapped.

Distributor/Vendor ID:	TEST	*
Distributor/Vendor Product Code:	993384	*
Product Description:	UTP Level 1 Professional-External	*
Market Data Product:	UTP LEVEL 1	*
Exchange Product Code:	(993384) UTP Level 1 Professional – External - Billable	*

Save

ERRORS MESSAGES

Common errors may include but are not limited to:

- Missing Header Row Data Elements
- Missing Detail Row Elements
- Incorrect format
- Field exceeds Maximum Length of characters
- Unmapped Product Codes
- Missing Report Title ID for Reportable/Billable items

It is the Vendor's responsibility to correct all errors to ensure the file can be uploaded properly.

If you have additional questions, please contact Admin@UTPPlan.com or +1 301-978-8080.