**NASDAQ Futures, Inc. (NFX)** Off-Exchange Transactions Reference Guide

Version1.04 **|** 201~~6~~8-0~~5~~9-~~22~~13

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# 13 Error Correction

For a trade where a broker or other representative has entered the buy and sell side of the Block Trade on behalf of the counterparties and the trade has cleared, but for which the broker or other representative has made an error in the terms of the trade that are required to be reported pursuant to Chapter IV, Section 11(F) (i.e. the Contract, contract month, price, quantity of the transaction, the respective Clearing Futures Participants, the time of execution, and, for Options on Futures, strike price, put or call and expiration month), the error may be corrected as follows:

* The party submitting a Block Trade has until the expiration of T+1 after the initial reporting of the Block Trade to request a correction of an error in the terms of the transaction.
* All correction requests are to be made to the Exchange and must include evidence that the counterparties to the Block Trade agree to the correction request.
* The request should also include the reason for the correction request.

All correction requests are subject to review and approval by the Exchange.

To request a correction please contact the NFX Operations Facilitation Desk via email at [TradeReports@nasdaq.com](mailto:TradeReports@nasdaq.com).

Please note that, pursuant to Exchange Rule Chapter IV, Section 11 (F), the failure to timely and accurately report Block Trades may subject the Futures Participant to disciplinary action.

Therefore, any correction to the terms of the Block Trade, regardless of when made, may nonetheless result in a disciplinary action by the Exchange.