



BATS Certification Questionnaire

Please check below the order types and features your firm intends to certify. Once successfully tested on any one exchange, re-certification of features common across exchanges will not be required. Order types unique to a particular exchange must be individually certified. For each exchange they intend to trade on, Members will be expected at minimum to establish & maintain connectivity, send basic order flow, and recover a session in the event of a disconnect.

Date:_____

Testing Contact Name:_____

Member ID:_____

Testing Contact Phone:_____

Clearing MPID:_____

Testing Contact Email:_____

OMS Identifier:_____

Members are expected to perform sufficient unattended testing prior to certification.

	BZX Exchange		BYX Exchange		EDGA Exchange		EDGX Exchange	
Basic Order Types	FIX	BOE	FIX	BOE	FIX	BOE	FIX	BOE
Send/Modify/Cancel Limit Order	Required	Required	Required	Required	Required	Required	Required	Required
Hidden Limit Order								
Market Order								
ISO Order								
Stop/Stop Limit Order								
Order Modifiers								
Time In Force								
Discretion								
Minimum Quantity								
Reserve (Random Replenishment)								
Match Trade Prevention								
Sliding Behaviors								
Hide Not Slide	NA	NA	NA	NA	NA	NA		
Display Price Sliding							NA	NA
Multiple Price Sliding							NA	NA
Price Adjust								
Multiple Price Adjust								
Cancel Back								
Peg Orders								
Primary/Market/Midpt/Midpt-AI Pegs								
Supplemental Peg								
Visible Pegged Discretionary Order								
Midpoint Discretionary Order	NA	NA						
Market Maker Peg								
Routing								
Book Only								
Post Only								
Post Only at Limit								
Directed ISOs								
Other Order Types								
Midpoint Match	NA	NA	NA	NA	NA	NA		
RPI Orders	NA	NA			NA	NA	NA	NA
Port Configurations								
DE FIX Compatibility Mode	NA	NA	NA	NA				
Enable Order Attribution								
Enable Peg Restatements								
Send Trade Breaks								
Enable State Change Tracking		NA		NA		NA		NA
Cancel on Disconnect/Recovery	Required	Required	Required	Required	Required	Required	Required	Required

Please provide any additional information in the notes section below: