



Privacy Statement

Effective Date: 09/28/2012

This Privacy Statement describes how your personally identifiable information is collected, used, shared, and safeguarded by NASDAQ OMX.

Information Collection & Use

Registration

For this NASDAQ OMX Web site <https://listingcenter.nasdaqomx.com> you must first complete the registration form and/or create a user name and password. During registration you may be required to give contact information (such as name, phone number and email address). We only use this information to contact you about the services on our site in which you have expressed interest.

We will use the primary account profile information to set up your account. You will have the opportunity to add the email address of multiple users, which is necessary to allow access to this application through the manage your account feature. When completing a listing application for a US Market, we will also ask for your relationship to the applicant, such as Issuer's Counsel or Company Officer.

NASDAQ OMX is the sole owner of the information collected on all NASDAQ OMX websites. NASDAQ OMX may collect personally identifiable information from our users at several different points on our Web site.

Listing Applications

If you submit a listing application to us, we request certain personally identifiable information from you on our application form. You must provide your contact information (such as name, and email). When completing a listing application for a US market, you are also asked to provide the contact information of Outside Legal Counsel, US Business Hours Contact, and Underwriters as well as board member information, such as First and Last Name and Birth Date. This information is used during our regulatory review process.

We only use the contact information in order to process your application. If we have trouble processing an application, we will use this information to contact you. While reviewing an application, when warranted, we may contact other parties listed on your application directly. Again, we will use their contact information that you provided for application processing purposes only.

Other Listing-Related Forms

Companies or their representatives may submit listing-related forms electronically, including Listing of Additional Shares Forms, through NASDAQ OMX's Listing Center. If you submit any type of listing form to us, we request certain personally identifiable information from you on our form. You must provide your contact information (such as name, and email). This information is used during our regulatory review process. If we have questions when reviewing your form, we will use this information to contact you.

Uses of Information

NASDAQ OMX uses the personally identifiable information you provide us to communicate with you in response to your inquiries, to provide the services you request, and to manage your account. Any personally identifiable information gathered by NASDAQ OMX will be used for internal purposes only. We will only disclose such data outside of NASDAQ OMX to the Local Financial Services Authorities in the Nordics and the SEC and FINRA in the US for regulatory review purposes.

NASDAQ OMX does not share, sell, rent or trade personally identifiable information with any other third parties for any purposes except as described in this privacy statement. [See "Legal Disclaimer"]

Communications from the Site

You will only receive emails from us after you've submitted your application. There will be no promotional or newsletter type of communication from us.

Service-Related Announcements

We will send you service-related announcements when it is necessary to do so. For instance, if our service is temporarily suspended for maintenance, we will send you an email. Generally, you may not opt-out of these communications, which are not promotional in nature. If you do not wish to receive them, you have the option to deactivate your account.

Customer Service

Based upon the personally identifiable information you provide us, we may send you a welcoming email to verify your username and password. We will also communicate with you in response to your inquiries, to provide the services you request, and to manage your account. We will communicate with you by email or telephone, in accordance with your wishes.

Profile

We store information that we collect through cookies, log files, clear gifs, to create a "profile" of your email and portfolio preferences within the site, enrollment form or account settings. We will link your personally identifiable information to your web site actions, to information in the profile, in order to provide a more customized experience while using the web site.

Information Sharing and Disclosure

Aggregate Information (non-personally identifiable)

NASDAQ OMX does not share aggregated demographic information with outside parties.

Personally Identifiable Information

Legal Disclaimer

We reserve the right to disclose your personally identifiable information as required by law and when we believe that disclosure is necessary to protect our rights and/or to comply with a judicial proceeding, court order, or legal process served on our Web site.

Log Files

As is true of most Web sites, we gather certain information automatically and store it in log files. This information includes internet protocol (IP) addresses, browser type, internet service provider (ISP), referring/exit pages, operating system, date/time stamp, and clickstream data. We use this information to analyze trends, to administer the site, to track users' movements around the site and to gather demographic information about our user base as a whole. We do link this automatically-collected data to personally identifiable information. IP addresses are tied to personally identifiable information to help identify individual web site usage.

Cookies

A cookie is a small text file that is stored on a user's computer for record-keeping purposes. We use both session ID cookies and/or persistent cookies. We use session cookies to make it easier for you to navigate our site. A session ID cookie expires when you close your browser. A persistent cookie remains on your hard drive for an extended period of time. You can remove persistent cookies by following directions provided in your Internet browser's "help" file.

Some cookies contain the email address, site logon or first name provided by you when completing an email profile for that site. This information is used to populate an email address box, logon box or display your full name when you logon on the site, respectively. Persistent cookies also enable us to track and target the interests of our users to enhance the experience on our site. For these purposes, some of our cookies are tied to personally identifiable information.

This privacy statement covers the use of cookies by this website alone and does not cover the use of cookies by any third parties. [See the "Third Parties/Advertising" section.]

Flash LSOs

Some third parties use Flash LSOs also known as Flash cookies, on our sites to display content based upon what you view on our site to personalize your visit. Third Parties, with whom we partner to provide certain features on our site use Flash cookies to collect and store information.

Flash cookies are different from browser cookies because of the amount of, type of, and how data is stored. Cookie management tools provided by your browser will not remove Flash cookies. To learn how to manage privacy and storage settings for Flash cookies click here:

http://www.macromedia.com/support/documentation/en/flashplayer/help/settings_manager.html#117118

Clear Gifs (Web Beacons/Web Bugs/ Embedded Pixels)

In an effort to provide users with the most relevant Web site content, we may also use embedded pixel technologies to help track site usage, these technologies are used on selected pages for the purposes of identifying unique user visits as opposed to aggregate hits. The site usage information collected by these technologies is associated with cookies and may provide data about site use by registered users of NASDAQ OMX Web sites. This information is used to evaluate site content, navigability and composition as well as page response rates. Any data linking the information gathered by clear gifs to a user's personally identifiable information is used for internal tracking purposes only. We will not disclose or divulge such data linkages outside of NASDAQ OMX. In contrast to cookies, which are stored on a user's computer hard drive, clear gifs are embedded invisibly on Web pages and are about the size of the period at the end of this sentence.

Third Parties/Advertising

NASDAQ OMX does not use an outside company for further processing or advertising.

Links to Other Sites

This Web site contains links to other sites that are owned or controlled by NASDAQ OMX. NASDAQ OMX is not responsible for the privacy practices of non-NASDAQ OMX web sites linked to a NASDAQ OMX site. We encourage you to read the privacy statements of other linked web sites when you leave our Web site. This privacy statement applies only to information collected by this Web site.

Access to Personally Identifiable

If your personally identifiable information changes, or if you no longer desire our service, you may update it or request deletion by contacting us at the contact information listed below.

Data Retention

We will retain your information for as long as your account is active or as needed to provide you services. If you wish to cancel your account or request that we no longer use your information to provide you services contact us at listingapplications@nasdaqomx.com. We will retain and use your information as necessary to comply with our legal obligations, resolve disputes, and enforce our agreements.

Security

NASDAQ OMX takes reasonable precautions to protect your personally identifiable information. The security of your personally identifiable information is important to us. When you enter sensitive information (such as name and email) on our registration or listing application forms, we encrypt that information using secure socket layer technology (SSL).

We follow generally accepted industry standards to protect the personally identifiable information submitted to us, both during transmission and once we receive it. No method of transmission over the Internet, or method of electronic storage, is 100% secure, therefore; while we strive to use commercially acceptable means to protect your personally identifiable information, we cannot guarantee its absolute security.

Changes in this Privacy Statement

If we decide to change our privacy policy, we will post those changes to this privacy statement, the homepage, and other places we deem appropriate so that you are aware of what information we collect, how we use it, and under what circumstances, if any, we disclose it. We reserve the right to modify this privacy statement at any time, so please review it frequently. If we make material changes to this policy, we will notify you here, by email, or by means of a notice on our home page.

Contact Us

If you have any questions or suggestions regarding our privacy policy, please refer to the appropriate contact for each web site:

Website: <https://listingcenter.nasdaqomx.com>

Email: listingapplications@nasdaqomx.com

Phone: +1 877.536.2737 or +1 301.978.8008

Mailing address:

The NASDAQ Stock Market
805 King Farm Blvd
Rockville, MD 20850

NASDAQ OMX has been awarded TRUSTe's Privacy Seal signifying that this privacy policy and practices have been reviewed by TRUSTe for compliance with [TRUSTe's program requirements](#) including transparency, accountability and choice regarding the collection and use of your personally identifiable information. The TRUSTe program does not cover information that may be collected through downloadable software. TRUSTe's mission, as an independent third party, is to accelerate online trust among consumers and organizations globally through its leading privacy trustmark and innovative trust solutions. If you have questions or complaints regarding our privacy policy or practices, please contact [TRUSTe](#).