KNOWN LIMITATIONS AS OF MAY 15th

The purpose of this document is to list the currently known limitations for release 5.0.0210 in Genium INET External Test 4.

- No clearing-related functionality is available as the early tests are set to Trading only (which corresponds to the standard setup of EXT3 test environment).

- Nasdaq Front-ends have not yet been updated with new API changes on in- and out-bound messages, but can be used for some verification (for example to check if your order has been placed in the order book) but not for any of the upcoming changes.

- GCF market data is not yet available.

- Instrument configuration is partly outstanding for Fixed Income (FI) and Commodities (COM) products, affecting pre-trade transparency, MMT flags and trade reporting. See details below in API impact tables.

- OTC products are not yet available.

- TrayPort (COM) is not yet available.

ALL ASSET CLASSES OMNET

The below table is based on the Summary Member Impact document that can be found under tab "Genium INET OMnet" in the link below

http://www.nasdaqomx.com/transactions/technicalinformation/geniuminet/enhancements/genium-inet-mifid-ii-5.0.0210

Areas with known limitations are highlighted in yellow.

Section	Member Impact Description	Available in test system	Mandatory	Final	Available in Tech Specs
2	**Reference Data**				
2.1	Trade Report Type	EQD only 15 May. COM/FI TBA	Yes	Yes	
2.2	Minimum Block Trade Size and Liquidity flag	EQD only 15 May. COM/FI		Yes	

Section	Member Impact Description	Available in test system	Mandatory	Final	Available in Tech Specs
		TBA			
2.3	Minimum Deferral Size	EQD only 15 May. COM/FI TBA	Yes	Yes	
2.4	Extra Reference Data for Commodities	15 May		Yes	
2.5	Default Trader ID	15 May	Yes	Yes	
2.6	Coupon Interest Rate	To be announced	Yes		No
3	**Order Management**				
3.1	OM-EXCHANGE_INFO structure	15 May	Yes	Yes	
3.2	Circuit Breaker Triggering info	To be announced			No
3.3	Trade Report Originator	15 May		Yes	
3.4	Quotes	15 May	Yes	Yes	
3.5	Post Trade Transparency flags	EQD only 15 May. COM/FI TBA	Yes	Yes	
3.6	Multi Leg Trade Report	TBA	Yes	No	Yes
4	**Exceptional Market State**				
4.1	Exceptional Market State	To be announced			No
5	**Trading and Market Information**				
5.1	Public Trade Ticker	EQD only 15 May. COM/FI TBA	Yes	Yes	
5.2	Order Book Levels	15 May	Yes	Yes	

Section	Member Impact Description	Available in test system	Mandatory	Final	Available in Tech Specs
6	**Trade and Position Management**				
6.1	Trade Information	15 May	Yes	Yes	
6.2	Rectify Deals/Trades	To be announced	Yes		No
6.3	Give-ups	To be announced	Yes		No
6.4	OTC Trade Reports	To be announced	Yes		No
7	**EMIR Reporting**				
7.1	Unique Trade Identifier in API	To be announced			No
8	**Deal Source Changes**	15 May			No
9	**Impact on Reports**				
9.1	OTC Trades	To be announced			N/A

ALL ASSET CLASSES FIX

The below table is based on the Summary Member Impact document that can be found under tab "Genium INET FIX" in the link below

http://www.nasdaqomx.com/transactions/technicalinformation/geniuminet/enhancements/genium-inet-mifid-ii-5.0.0210

Section	Member Impact Description	Available in test system	Mandatory	Final
3	**Business Level Party Identifiers**			
3.2	Party Roles	15 May	Yes	Yes

Section	Member Impact Description	Available in test system	Mandatory	Final
3.3	On Behalf Identifiers	15 May	Yes	Yes
3.4	Implicit Parties	15 May		Yes
3.5	Drop Copy Identifiers	15 May	Yes	Yes
4	**Time Datatypes Enhancements**			
4.1	Support for High Resolution Time Data	15 May		Yes
4.2	Change of Time Data Resolution	15 May	Yes	Yes
5	**Order Management**			
5.1	Commodity Derivatives Risk Reducing Flag/Liquidity Provision	15 May		Yes
5.2	DEA Order Flag	TBA		Yes
5.3	Trading Capacity	15 May	Yes	Yes
5.4	Trading Venue Transaction Identifier	15 May		Yes
5.5	Circuit Breaker Information	July 17		Yes
6	**Contingent (Linked) Orders**			
6.1	Commodity Risk Reducing Flag/Liquidity Provision	15 May		Yes
6.2	Trading Capacity	15 May	Yes	Yes
7	**General Quote Handling**			
7.1	Party Roles	15 May		Yes
7.2	Trade Capacity and Liquidity Provision	15 May		Yes
7.3	Pass-through Field	15 May		Yes
8	**Trade Capture Reports**			
8.1	Trade Handling Instructions	15 May		
8.2	Commodity Derivatives Risk Reducing Flag/Liquidity Provision	15 May		Yes

Section	Member Impact Description	Available in test system	Mandatory	Final
8.3	Trading Capacity	15 May		Yes
8.4	DEA Order Flag	TBA		Yes
8.5	Venue of Execution	EQD only 15 May. COM/FI TBA		Yes
8.6	Market Mechanism	15 May		Yes
8.7	Trading Mode	15 May		Yes
8.8	Trade Types/MMT Transaction Types	15 May	Yes	Yes
8.9	Post-trade Deferrals	EQD only 15 May. COM/FI TBA		Yes
8.10	Amend/Cancel Flags in Confirmations	17 July		Yes
8.11	Complex Trade Component ID	15 May		Yes
8.12	Trading Venue Transaction Identifier	15 May		Yes
8.13	Trade UTI	TBA		Yes
8.14	Stressed Market Flag	15 May		Yes
8.15	Multi Leg Trade Reports	TBA		Yes
8.16	Trade Cancels	July 17		Yes
8.17	Trade Changes	July 17		Yes
9	**FIX 5.0 SP2**			
9.1	Standard Header	15 May	Yes	Yes

Time Resolution

SendingTime, tag 52, is currently not accepted with micro- and nanosecond resolution due to an issue.

Trader ID´s

For members Trader ID´s have been set up according to the existing registered traders.

Members should use Trader ID values based on the existing list of registered authorized traders. This means that if you have a trader called John Smith the Trader ID value will be JONSMI.
Members who wish to have technical Trader ID´s set up to test DEA flows or routing flows, please contact Member Services (MS.GI@nasdaq.com).

For ISV´s the below set of pre-configured generic Trader ID´s has been set up in External test 4 for testing purpose. Personal Trader ID´s can be set-up on request by Member Services.

Trader ID	Trader ID Type
AAA111	Personal
AOR001	Routing
BBB222	Personal
CCC333	Personal
DDD444	Personal
EEE555	Personal
FFF666	Personal
GGG777	Personal
HHH888	Personal
III999	Personal