

Application for Individual Registration or Non-Registered Associated Persons (“NRF”) Designation

New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc., NYSE Chicago, Inc.
(each, an “Exchange” and, collectively, “NYSE”)

APPLICATION FOR INDIVIDUAL REGISTRATION OR NRF DESIGNATION

Individual Registration
To be eligible for registration as defined in Exchange rules, an individual must (i) successfully complete the required examination(s), (ii) complete this Exchange application, and (iii) submit a Form U4 and fingerprint card to CRD requesting the appropriate designation with the Exchange(s).

NRF Designation
To be designated as an NRF, employees and associated persons of a member organization are not required to register with the Exchange(s) but must (i) complete this Exchange application and (ii) submit a fingerprint card to CRD.

INDICATE REGISTRATION OR NRF DESIGNATION INDIVIDUAL IS SEEKING (CHECK ALL THAT APPLY)

Equities	Options
<input type="checkbox"/> New York Stock Exchange <input type="checkbox"/> ME - Designated Market Maker (Series 19 & DMM exam) <input type="checkbox"/> ME - Floor Broker (Series 19) <input type="checkbox"/> FL - Floor Clerk (Series 19) <input type="checkbox"/> FE - Floor Employee	<input type="checkbox"/> NYSE American <input type="checkbox"/> OM - Floor Broker/Market Maker (Series 57) <input type="checkbox"/> FE - Floor Employee
<input type="checkbox"/> NYSE Chicago <input type="checkbox"/> ME - Institutional Broker (IBR Exam + GS, TD or AR registration) <input type="checkbox"/> Clerk (NRF) <input type="checkbox"/> Voting Designee (NRF)	<input type="checkbox"/> NYSE Arca <input type="checkbox"/> OM - Floor Broker/Market Maker (Series 57) <input type="checkbox"/> FE - Floor Employee

INDIVIDUAL APPLICANT INFORMATION

Applicant Name: _____	CRD: _____
Title/Trading Floor Position: _____	DOB: _____
Phone: _____	Email: _____

MEMBER ORGANIZATION INFORMATION

Member Organization Name: _____	CRD: _____
Primary Contact Name: _____	Title: _____
Phone: _____	Email: _____

APPLICATION CHECKLIST

A Form U4 requesting appropriate registrations have been submitted to FINRA through CRD;

(See above for appropriate registration type for business activity.)

Yes N/A (Individual is an NRF)

Does individual have any reportable events on Form U4 in CRD?

Yes No

Individual has passed or been granted a waiver of the required examination.

Yes N/A (No exam requirement)

A Fingerprint Card is available on CRD

TO BE COMPLETED BY INDIVIDUALS REQUIRING PHYSICAL ACCESS TO THE FACILITIES OF THE EXCHANGE(S)

New York Stock Exchange Equity Floor

NYSE American Options Floor

NYSE Arca Options Floor

Expected start date:
(if known) _____

Position / Reason for access to the Trading Floor: _____

Badge # (if applicable): _____

Will individual require a Clerk Logon ID?

Yes No

If individual has been active on an Exchange Trading Floor in the past, please enter the last date individual was active on such Trading Floor: _____

New or returning NYSE Floor Brokers, DMMs and Clerks have completed NFOP in the last 6 months?

Yes No

AUTHORIZED ACKNOWLEDGEMENT

I authorize NYSE and its affiliates to give any information they may have concerning me to any employer or prospective employer, any federal, state, or municipal agency, or any other SRO, and I release the Exchange, its affiliates and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.

I affirm my obligation to abide, in full, with the rules and regulations of the Exchange(s) and subject to its regulatory and disciplinary jurisdiction and that of its market and regulatory subsidiaries.

I swear or affirm that I have read and understand the items and instructions on this form and that my answers are true and complete to the best of my knowledge.

Applicant Signature: _____

Date: _____

Member Organization Acknowledgment

Authorized Signatory of Firm: _____

Print Name: _____

Date: _____