

APPLICATION CHECKLIST AND FEES¹

CHECKLIST FOR NON-NYSE Arca DEA BROKER-DEALER APPLICANTS

- Application for Equity Trading Permit
 - Sections 1 through 6, 8, and 9 are MANDATORY
 - Section 7 only if you are not self-clearing
 - *If self-clearing, a Regional Interoffice Operations (RIO) letter will need to be supplied after the Broker-Dealer has been approved.*
- Most Recent Signed and Notarized Form BD Including Schedules & Disclosure Reporting Pages
- A Form U-4 and Fingerprint cards for the following individuals needs to be submitted directly to the FINRA, if not currently available on Web CRD®²:
 - Direct/Indirect Owners, Allied Persons, and Approved Persons as listed on Form BD Schedules A & B
 - Designated Supervisors
- Four (4) Most Recent FOCUS Reports³ and the Most Recent Audited Financial Statements, if applicable
- All examination reports and corresponding responses from the Applicant Broker-Dealer for the previous two (2) years
- Organizational Documents: Articles of Incorporation and Bylaws; Partnership Agreement; Limited Liability Company (“LLC”) Agreements; Operating Agreement; or similar documentation

CHECKLIST FOR NYSE Arca DEA BROKER-DEALER APPLICANTS

- Application for Equity Trading Permit
 - Sections 1 through 6 and 8 through 11 are MANDATORY
 - Section 7 only if you are not self-clearing
 - *If self-clearing, a Regional Interoffice Operations (RIO) letter will need to be supplied after the Broker-Dealer has been approved.*
- Most Recent Signed and Notarized Form BD Including Schedules & Disclosure Reporting Pages
- A Form U-4 and Fingerprint cards for the following individuals needs to be submitted directly to the FINRA, if not currently available on Web CRD®².
 - Direct/Indirect Owners, Allied Persons, and Approved Persons as listed on Form BD Schedules A & B
 - Designated Supervisors
 - All Authorized Traders
- Financial Documentation
 - Four (4) Most Recent FOCUS Reports³ and the Most Recent Audited Financial Statements, if applicable
 - Most Recent Balance Sheet and Capital Computation
 - Six Month Profit/Loss Projection
 - Subordination Agreements, if applicable
- Proprietary Accounts of Introducing Broker-Dealers (PAIB) Agreements, if applicable
- Organization Documents: Articles of Incorporation and Bylaws; Partnership Agreement; Limited Liability Company (“LLC”) Agreements; Operating Agreement; or similar documentation
- All examination reports and corresponding responses from the Applicant Broker-Dealer for the previous two (2) years
- Copy of Written Supervisory Procedures, Anti-Money Laundering Procedures, and Insider Trading Act Procedures (if separate)

Note: All ETP Holders are responsible for maintaining a list of all Authorized Traders, and such list must be made available to NYSE Arca upon request as required by NYSE Arca Equities Rule 7.30(a).

¹ For a list of fees, please review the “Schedule of Fees and Charges for Exchange Services” found at http://www.nyse.com/pdfs/NYSEArca_Equities_Fees.pdf. Additional fees to those listed within this application may apply.

² A \$125 Investigation Fee may be required for each Control Person, Allied Person, Approved Person, Designated Supervisor or Authorized Trader (DEA Applicants Only) for whom required information is not available on Web CRD®. Please make checks payable to NYSE Arca, Inc

³ Applicants must demonstrate that they have current net capital of 140% of their minimum net capital requirement or \$20,000 in excess of their minimum dollar net capital requirement, **whichever is greater**. If the Broker-Dealer has reported net losses for the period reviewed, the Firm’s financial statements must demonstrate that its excess net capital can withstand six (6) consecutive months of average losses. Applicant Broker-Dealers that do not have the requested financial information available are required to submit Pro Forma Financial statements for the most recent six (6) months or since inception, whichever is less.