



## 2009 Trading License Application

For Trading Period ending 12/31/2009

**Please Type or Print Clearly**

<b>Organization and Contact Information:</b>			
*Name of Member Organization:			
CRD Number:			
<b>Primary Contact</b>		<b>Billing Address</b>	
*Contact Name		*Contact Name	
*Email address		*Member Firm Name	
*Telephone	Fax	*Street Address 1	
<b>Alternate Contact</b>		Street Address 2	
*Contact Name		City, State, Province, Postal Code	
*Email Address		Country	
*Telephone	Fax	* indicates mandatory information	

### **Member Organization will have the following Floor Members:**

List names of members below and indicate if currently approved as a NYSE floor member. **Please note that any individual not currently so approved will be required to undergo a full application process, and there can be no guarantee that such process will be completed by the effective date of the new Trading Licenses.** If a Trading License will be used without a floor member, no name need be provided below. **Important:** Each trading license entitles its holder to trading privileges for one trading floor member (e.g. electronic access only). There will be an additional fee and transfer notification period for transfers of licenses between floor members within Member organizations.

Name	Currently Approved floor member?	Name	Currently Approved floor member?
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>		Yes: <input type="checkbox"/> No: <input type="checkbox"/>
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>		Yes: <input type="checkbox"/> No: <input type="checkbox"/>

*To list more floor members, attach a separate page with this form.*



### Trading Licenses

Trading Licenses are available for \$40,000 per year billed monthly, pro-rated for the amount of time remaining for the year. The maximum number of Trading Licenses available is 1,500.

Number of Licenses:

The undersigned Member Organization understands and agrees that

1. In the event this application is accepted, the undersigned will make timely payment of all amounts due in connection with the acquisition and holding of a Trading License as prescribed in Rules 300 and 300T.
2. The Rules of New York Stock Exchange LLC may be reviewed at [www.nyse.com](http://www.nyse.com). As holder of a Trading License, the undersigned agrees to comply with such rules as they are in effect from time to time, and without limiting the foregoing, that it will be subject to the jurisdiction of New York Stock Exchange LLC.

PRINT NAME OF MEMBER ORGANIZATION:	
Signature:	
Name:	
Title:	
Date:	

**Choose one of the following three methods to deliver this form:**

**Mail:**

Michelle Fetscher  
 Membership Services  
 New York Stock Exchange  
 11 Wall Street, 18<sup>TH</sup> Floor  
 New York, NY 10005

**Fax to: 212-656-5388**

**Email: [mfetscher@nyx.com](mailto:mfetscher@nyx.com)**

**BELOW FOR NYSE USE ONLY**

**Accepted: | Rejected: |**

Date of receipt:	Tracking Control Number:
Received by:	Reviewed by:
Form Complete:	Logged In:
Time:	Notified:



**2009**  
**NEW YORK STOCK EXCHANGE**  
**MEMBERSHIP SERVICES**  
**PROGRAM FOR LICENSES**

**ALL APPLICANTS MUST COMPLETE ALL REQUIREMENTS AS DESCRIBED BELOW. ONCE MEMBERSHIP SERVICES HAS DETERMINED THAT ALL REQUIREMENTS HAVE BEEN MET, THE APPLICANT SHOULD BE ABLE TO RECEIVE HIS OR HER TRADING BADGE WITHIN 5 BUSINESS DAYS OF MEETING THE REQUIREMENTS.**

**THE FIVE DAY PERIOD WILL NOT APPLY FOR ANY APPLICANT WHO HAS NOT COMPLETED ALL REQUIREMENTS, HAS ANY "YES" ANSWERS ON FORM U-4, IS CURRENTLY THE SUBJECT OF ANY INVESTIGATION OR WHO HAS A FINGERPRINT STATUS OTHER THAN "CLEAR."**

**If you are becoming a substitute broker, please review the substitute section below .**

1. U-4 Applications:

All members associated with a firm must file their U-4 applications through WebCRD (See NYSE Information Memo 02-52). If you are currently registered in a capacity other than Member Exchange ("ME") with your current employer, file an update through WebCRD to add the ME status (if you are changing firms, your new employer must register you with the ME status.) If you are currently registered as a floor employee or trading assistant (FE/TA) that status should be terminated once you are approved as a Floor Member. Substitutes who will return to FE/TA status should contact Qualifications and Registration for instructions.

2. Fingerprints:

All applicants for membership must supply fingerprint cards, UNLESS you already have prints on file with CRD and you are remaining with your present firm. **However, if you are changing firms, you must supply a new set of prints to another self-regulatory organization, NOT the NYSE (see explanation below). If a new set of prints is required, they must be processed before any approval as a member or substitute is granted.**

***EFFECTIVE NOVEMBER 1, 2004-ALL APPLICANTS ASSOCIATED WITH A MEMBER ORGANIZATION SHOULD SUBMIT THEIR FINGERPRINT CARDS TO THE NASD. You should use the fingerprint card of the processing SRO. For further information, see NYSE Information Memo 04-53.***

In New York, prints may be taken at *Fidelfax, 42 Broadway, 15<sup>th</sup> Floor*. If you are located out of New York City, contact your local police or sheriff's department. Charges will be incurred for the taking and processing of fingerprints. **-If you have not filed fingerprints with WebCRD, you must file an NASD fingerprint card. Failure to provide the above information could result in processing delays or termination of your approval as a member. YOU WILL NOT BE APPROVED AS A MEMBER UNTIL YOUR FINGERPRINT CARD HAS BEEN PROCESSED AND REVIEWED.**

3. Trading License availability:

Your member organization must have an available Trading License before you can be approved as a member. If an additional License is needed one must be purchased from the NYSE. **If available**. Contact Michelle Fetscher, Membership Services (212) 656-5388.

The cost for a 2009 Trading License is \$44,000 per year billed monthly, pro-rated for the amount of time remaining for the year. Refer to Rule 300 (Licenses **are not** transferable, except to a related entity-or in connection with a merger or acquisition-a fee will be charged for any such license transfer.)

4. Floor Orientation Program:

All new applicants and former members (who have been inactive as a NYSE member over six months) must complete the Floor Orientation Program and pass appropriate examinations. The program and examinations are given once a month.

Contact **Camille Fredrickson, (212) 656-5390**, for information and schedules.

Specialist applicants:

Contact **Carol Krusik, (212) 656-4597**, for information regarding the Specialist exam and registration as a specialist.

RCMM and Competitive Trader applicants:

Contact **Carol Krusik, (212) 656-4597**, for registration and examination information.

5. Commission Bills:

If you need a commission bill, request the form from Membership Services. If you will be affiliated with a member organization, the firm name must be on the account. If you are changing firms and wish to keep an existing number, you must file a change of name form available in Membership Services.

**PLEASE NOTE – YOU MUST FILE AN ACH DIRECT DEPOSIT FORM, A VOIDED CHECK AND A RESOLUTION (for Corporation or LLC Company, which could be obtained, from your bank) OR THE COMMISSION BILL ACCOUNT WILL NOT BE APPROVED. FORMS MAY BE OBTAINED AT MEMBERSHIP SERVICES, 11 WALL STREET, 18<sup>TH</sup> FL.**

**Also, please contact June Carter-Perrine, (212) 656-6068, to advise which services you will need when you start on the Floor.—See following page for details**

6. Badge Numbers:

**To obtain a badge number, contact Michelle Fetscher (212) 656-5388 as soon as possible. If you do not contact staff, a badge number will be assigned for you.**

7. Error Accounts:

**ALL MEMBERS MUST HAVE AN ERROR ACCOUNT BEFORE COMMENCING FLOOR ACTIVITIES-IF YOU WILL BE USING THE FMEF (Floor Members Emergency Fund) ERROR ACCOUNT, YOU MUST BECOME AN FMEF MEMBER: CONTACT LOIS CHIESA, (212) 269-2142.**

**New members will pay a processing fee of \$1,000, which will be billed to the member organization employer.**

## **SUBSTITUTES**

Applicants who are applying to be designated as substitutes must follow all of the requirements above and will be subject to all usual requirements for membership, including having an error account, examination and any continuing education requirements. The substitute program is designed to allow a member to leave the floor for vacations, etc. and allow the member organization to retain a full complement of members. Membership Services must be advised no later the 2pm the day prior to the activation of the Substitute. E-mail should state who will substitute and the dates they will be active and when the broker will return.

A member organization will be billed the current application fee (\$1,000.00) for each approved substitute. The substitute may make unlimited substitutions with no additional fees.

Should a substitute change employers, a new fee will be charged if the substitute wishes to maintain that status.

**Each person designated as a substitute must be a full-time employee of his or her member organization and receive a W-2 form, not a 1099.**

**ALL SUBSTITUTE MEMBERS ARE REQUIRED TO COMPLETE THE MEMBER CONTINUING EDUCATION PROGRAM. CONTACT CAROL KRUSIK, (212) 656-4597, FOR FURTHER INFORMATION ON THE REQUIREMENTS.**

## **NYSE Departments & Contact Information**

**Badge Information** - Contact: **Michelle Fetscher** – (212) 656-5388

**Floor Facilities Administration** – Contact: **June Perrine** – (212) 656-6068

For allocation of booth space and specific hardware needed for trading. This includes telephones, screens and printers.

**Broker Services** – Contact: **Hotline** – (212) 656-5778

In order to comply with the rules of the exchange, an order management system must be used to enter and report trades. The Broker Services department will assist a new member whether he / she is working on an “ABC” contract and requires an e-Broker Handheld or has booth space with NYSE terminals and requires entitlements for services such as BBSS, ILX, OCS, BOSS or WDS. Broker Services is also responsible for establishing “Mnemonics”. A mnemonic is a code used in the NYSE’s trading systems that represents a relationship between a member firm and a clearing firm.

**Overnight Comparison System (OCS)** – This department can assist a member with past trades, direct submission and the Merged Order Logs.

**Vendor Services** – Contact: **Hotline** – (212) 656-4960

To request the specific set up of ILX, Reuters plus or Track Data.

**NYSE Training Department** – Contact: **Hotline** – (212) 656-2261 or (212) 656-5390 Applicants for membership or substitute status should arrange to register for training in preparation for taking the Series 15 and other required member examinations.

The NYSE Training Department will train any member firm’s Broker or clerk on all NYSE products. Scheduling for classes can be before, during or after the close.