

NYSE and NYSE Amex Equity Product Application

Instructions: In order to ensure your Firm's connectivity is coming from your own facility and being utilized by staff employed by your Firm, the completion of this application is required prior to establishing connectivity. Should you determine that this is not the case, your Firm must notify the Exchange(s) and identify the firm(s) for whom you are sponsoring access into the Exchange(s), as required by NYSE MatchPointSM Rule 1500, New York Block ExchangeSM Rule 1600, NYSE BondsSM Rule 86, or Rule 86 - NYSE Amex Equities ("NYSE Amex Bonds") and Rule 123B.30 ("Sponsored Access to the Exchange").

1. Customer Information

Member Organization Name			
Address			
Technical Contact			
Technical Contact Phone		Technical Contact E-Mail	
Business Contact			
Business Contact Phone		Business Contact E-Mail	
Compliance Contact			
Compliance Contact Phone		Compliance Contact E-Mail	

2. Connectivity Questions

Identify the purpose / product for this request (check all that apply):	<input type="checkbox"/> NYSE MatchPoint <input type="checkbox"/> New York Block Exchange <input type="checkbox"/> NYSE Bonds <input type="checkbox"/> NYSE Amex Bonds
Please identify the type of trading:	<input type="checkbox"/> Agency <input type="checkbox"/> Proprietary <input type="checkbox"/> Both
Is this connection for the purpose of routing orders, receiving market data or both?	<input type="checkbox"/> Routing orders <input type="checkbox"/> Receiving market data <input type="checkbox"/> Both
If you are using a Service Bureau (e.g., Order Management System "OMS") for this new connection, please provide the name of the technology provider.	
What type of connection will the firm use to access NYSE MatchPoint and/or the New York Block Exchange?	<input type="checkbox"/> FIX <input type="checkbox"/> Internet Based
Are you using an Exchange Floor hand-held device to access NYSE MatchPoint and/or the New York Block Exchange? <i>If yes, please provide the Badge ID(s) and name of Trading Floor Member.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Badge ID(s): _____ Floor Member(s): _____

3. Connectivity Relationship (This section is not required if the connection is for orders routed by the firm completing this Form.)

Is this connection for a Sponsored Participant?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please provide the name of the Sponsored Participant:	

If you have stated 'Yes' in the above Section 3, indicating that you, the member firm, is entering into a sponsorship arrangement with another entity, please ensure all parties have completed, signed and executed the proper Sponsored Participant (SP) Agreements pursuant to NYSE MatchPoint Rule 1500, New York Block Exchange Rule 1600, NYSE Bonds Rule 86, or Rule 86 – NYSE Amex Equities (NYSE Amex Bonds) and Rule 123B.30 ("Sponsored Access to the Exchange").

NYSE MatchPoint: <http://www.nyse.com/matchpoint>

New York Block Exchange: <http://www.nyse.com/nybx>

NYSE Bonds and/or NYSE Amex Bonds: <http://www.nyse.com/productservices/securities/1178103011346.html>

Name (Printed)	
Name (Signature)	
Member Organization Name	
Title	
Date	

Please return to Client Relationship Services at crs@nyx.com or via fax to 312.960.9647.