



Retail Member Organization – Broker-Dealer Customer Agreement

1. This Retail Member Organization Agreement (the “Agreement”) is between _____, (the “RMO”) and _____, (the “Customer”), which is a registered broker-dealer.
2. This Agreement authorizes the RMO to route Retail Orders and modifications to the NYSE and NYSE Amex on behalf of Customer pursuant to NYSE and NYSE Amex Equities Rule 107C.
3. By executing this Agreement, Customer represents that it will only send orders to RMO that are to be designated as Retail Orders if the entry of such orders to the NYSE or NYSE Amex will be in compliance with the requirements of Rule 107C. Customer further represents that it will only designate orders as Retail Orders if the order is an agency order that originates from a natural person, provided that no change has been made to the terms of the order with respect to the side of market, and the order does not originate from a trading algorithm or any other computerized methodology.

Retail Member Organization

Customer

Signature

Signature

Print Contact Name

Print Contact Name

Title (must be officer)

Title (must be officer)

Name of Member Organization

Name of Member Organization

Web CRD#

Web CRD#

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