

Approved Person (“AP”) Form

New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc.

This AP Form is to be completed by an entity registering as an Approved Person with New York Stock Exchange LLC (“NYSE”), NYSE American LLC (“NYSE American”), and/or NYSE Arca, Inc. (“NYSE Arca”) (collectively, the “Exchanges”)

Instructions

Prior to completing this AP Form (“Form”), the entity registering as an Approved Person (“Applicant”) should be familiar with the rules of the Exchanges, as relevant, particularly those rules relating to Approved Persons, including but not limited to NYSE Rules 2 and 304; NYSE American Rules 13, 25, 310, and 311; and NYSE Arca Rules 1.1, 2.4, and 2.14.

- A copy of the completed Form must be retained by the Applicant and the member, member organization, OTP Firm, and/or ETP Holder (as defined in the rules of the relevant Exchange(s)) with which the Applicant is or will be associated (“Member Organization”).
- To the extent necessary, provide additional information via a separate attachment referencing the section and question to which the additional information applies.
- The list of Approved Persons must be kept up to date with the relevant Exchange(s) and FINRA. Completed Forms and notification of changes should be provided to the relevant Exchange(s) by emailing crs@nyse.com.

Section I

Exchange Registration(s) applying for: NYSE NYSE American NYSE Arca

1. Name of the AP Applicant Entity: _____ Web CRD#: _____
2. Name of the Member Organization or pending Member Organization with which the AP Applicant is or will be associated:
Member Organization: _____ Web CRD#: _____
3. Approved Person status is requested pursuant to the rules of the relevant Exchange(s) because the Applicant:
 - controls the Member Organization and is not a governmental entity (see NYSE Rules 2(c) and (e); NYSE American Rules 13 and 25; NYSE Arca Rule 1.1);
 - is engaged in a *securities or kindred business* that is *controlled* by or *under common control* with the Member Organization (see NYSE Rule 2(c); NYSE American Rule 25);
 - is a *U.S. registered broker-dealer under common control* with the Member Organization (see NYSE Rule 2(c)); and/or
 - beneficially owns, directly or indirectly, 5% or more* of the outstanding equity securities of a Member Organization or has *contributed 5% or more* of the partnership capital of a Member Organization (see NYSE Arca Rule 1.1).
4. Is the applicant subject to a *Statutory Disqualification* as the term is defined in Section 3(a)(39) of the Securities Exchange Act of 1934?
 - Yes
 - No

If an Applicant or any person associated with the Applicant subsequently becomes subject to a *Statutory Disqualification* after initial approval, this information must promptly be communicated to the relevant Exchange(s) and FINRA in writing.

¹ This Form is for non-natural persons seeking Approved Person status only. All natural persons seeking Approved Person status must register as an “AP” on Form U4.

Section II

1. Address of Applicant's principal place of business (complete address of actual location):

2. Date and place of incorporation or jurisdiction under the laws of which Applicant was formed:

3. Indicate whether the Applicant has operated under any other names and identify all such names:

Section III

By signing below, the Applicant represents and acknowledges the following:

The Applicant is not relying upon the Exchange(s) to provide any information concerning or relating to the Member Organization and agrees that the Exchange(s) has(ve) no responsibility to disclose to the Applicant any information concerning or relating to the Member Organization that it may have now or obtain at any future time. The Applicant agrees for itself, its personal representatives, successors and assigns that neither the Exchange(s), nor any investor, officer, trustee, agent, nor employee of said Exchange(s) shall be liable to the Applicant with respect to the Applicant's investment or interest in the Member Organization or with respect to any repayment of any such investment or interest.

It is understood that the statements made in connection with this Form will be relied upon by the Exchange(s) and may be verified by investigation. The Applicant declares that all such statements are true, complete, current and accurate. It is also recognized that the Exchange(s) reserves the right to request additional information.

The Applicant undertakes and agrees to subject itself to the jurisdiction of the Exchange and to abide by such provisions of the Rules of the Exchange(s) as would at any time apply to an Approved Person as such term is defined in the Rules of the Exchange(s).

The Applicant hereby agrees to comply with the relevant provisions of the Securities Exchange Act of 1934, as amended, and the Rules and Regulations thereunder, and to furnish said Exchange(s) with such information with respect to the Applicant's relationship and dealings with its affiliated Member Organization as the Exchange(s) may require, to supply the Exchange(s) with information relating to the existence of any "statutory disqualification" (as such term is defined in Section 3(a)(39) of the Securities Exchange Act of 1934, as amended) to which the Applicant or any person associated therewith may be subject, to permit examination by the Exchange(s) or its designee of Applicant's books and records in order to verify the accuracy of the aforesaid information, and to subject itself to and abide by the Exchange's(s') disciplinary authority.

Applicant represents that except as is specifically indicated on this form or any supplement thereto, neither it nor any person associated therewith is subject to a statutory disqualification as defined in Section 3(a)(39) of the Securities Exchange Act of 1934, as amended.

Applicant covenants and agrees that the foregoing statements, warranties, representations and undertakings will continue to apply with full force and effect notwithstanding that the Member Organization may have changed its name or form of organization, or legal status (but has retained its same SEC Broker Dealer number) unless Applicant shall have otherwise notified the Exchange(s), in writing.

Authorized Signatory of the Firm

Date

Print Name of Authorized Signatory of the Firm

Title

CRD# (If Applicable)