

## NYSE Pillar Trade Ops Portal Options User Request and Authorization

| Authorization   |  |
|---|--|
| Firm acknowledges and agrees that its use of the NYSE Pillar Trade Ops Portal, available at <a href="https://www.nyse.com/pillar/trade-ops-portal">https://www.nyse.com/pillar/trade-ops-portal</a> , (the "tool") is ;(1) governed by the Terms of Use available at <a href="https://www.theice.com/publicdocs/nyse/markets/nyse/TOP_Terms_of_Use.pdf">https://www.theice.com/publicdocs/nyse/markets/nyse/TOP_Terms_of_Use.pdf</a> and that it must review and accept these Terms of Use before accessing the tool; (2) the individual listed below may access and use the tool on behalf of Firm (a "User"); (3) if a User has left the Firm or is no longer authorized to use the tool, the Firm must immediately notify <a href="mailto:crs@nyse.com">crs@nyse.com</a> ; and (4) Firm is responsible for the acts of User. |  |
| General Information:  |  |
| Firm Name:  | _____  |
| Business Address:   | _____  |
| City:   | _____ State: _____ Zip: _____  |
| Business Phone:   | _____ CRD #: _____   |
| User Information:   |  |
| First/Last Name:  | _____  |
| Global ID (Email Address):  | _____  |
| User Type (Choose One):   | <input type="checkbox"/> Read Only <input type="checkbox"/> User (Read / Modify)               |
| Firm Type (Choose One):   |  |
| <input type="checkbox"/> Entering Firm  | By default, all MPIDs are assigned. If only specific MPIDs are required, please specify: _____ |
| <input type="checkbox"/> Market Maker   | By default, all MMIDs are assigned. If only specific MMIDs are required, please specify: _____ |
| <input type="checkbox"/> 3 <sup>rd</sup> Party Trade Checker<br>(Risk Controls Not Available)   | By default, all MPIDs are assigned. If only specific MPIDs are required, please specify: _____ |
| <input type="checkbox"/> Floor Broker   | Firm Level. By default, all identifiers included.  |
| <input type="checkbox"/> Clearing Firm<br>(Risk Controls Not Available)   | By default, all OCC#s are assigned. If only specific OCC#s are required, please specify: _____ |

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| <b>Access</b>  |
|--|
| <p><b>Please select each market the above User should have access to:</b></p> <p><input type="checkbox"/> NYSE American Options      <input type="checkbox"/> NYSE Arca Options</p>  |
| <p><b>Please select each module the above User should have access to:</b></p> <p><input type="checkbox"/> Firm Sessions      <input type="checkbox"/> Trades Viewer</p> <p><input type="checkbox"/> Risk Controls (Complete Section Below)</p>   |
| <b>Risk Controls (Only required if Risk Controls module selected above.)</b>   |
| <p><b>Risk User Permissions (Choose One):</b></p> <p><input type="checkbox"/> View Only      <input type="checkbox"/> Risk Desk - View &amp; Configure      <input type="checkbox"/> Risk Officer -<br/>View, Configure, Action (Kill Switch &amp; Reinstate)</p>  |
| <b>Authorization and Acceptance*</b>   |
| <p><b>*Signatory must be on file via the NYSE Pillar Trade Ops Portal - Authorized Administrators form available here:</b><br/><a href="https://www.nyse.com/publicdocs/nyse/NYSE_Pillar_Trade_Ops_Portal_Authorized_Administrators.pdf">https://www.nyse.com/publicdocs/nyse/NYSE_Pillar_Trade_Ops_Portal_Authorized_Administrators.pdf</a></p> |
| <p>By (Signature) _____ Date: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Phone: _____ Email: _____</p>  |

Completed forms should be returned via email to [crs@nyse.com](mailto:crs@nyse.com).