

NYSE Pillar Trade Ops Portal - User Request and Authorization

Authorization

Firm acknowledges and agrees that its use of the NYSE Pillar Trade Ops Portal, available at <https://www.nyse.com/pillar/trade-ops-portal>, (the "tool") is ;(1) governed by the Terms of Use available at [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) 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 crs@nyse.com; and (4) Firm is responsible for the acts of User.

General Information

Firm Name: _____

Business Address: _____

City: _____ State: _____ Zip: _____

Business Phone: _____ CRD #: _____

User

First/Last Name: _____

Global ID (Email Address): _____

User Type (Choose One):

Read Only

 User (Read / Modify)

 Finance (Trades/Volumes Read Only)

By default, all MPIDs are assigned.
 If only specific MPIDs are required, please specify: Specific MPIDs: _____

Please select each market* the above User should have access to:

- | | | |
|---|---|-------------------------------|
| <input type="checkbox"/> NYSE Arca Equities | <input type="checkbox"/> NYSE American Equities | <input type="checkbox"/> NYSE |
| <input type="checkbox"/> NYSE National | <input type="checkbox"/> NYSE Chicago | |

*User will be permissioned for selected markets as they become available.

Please select each module* the above User should have access to:

- | | | |
|--|---|--|
| <input type="checkbox"/> Auction Imbalance | <input type="checkbox"/> Sessions | <input type="checkbox"/> Symbol Management |
| <input type="checkbox"/> Trades Viewer | <input type="checkbox"/> Volumes Viewer | <input type="checkbox"/> Finance
(Only if Finance Type checked above) |
| <input type="checkbox"/> Orders Viewer | <input type="checkbox"/> Pre-Trade Risk Controls
(Complete Page 2) | |

*User will be permissioned for selected markets and modules as they become available.

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Pre-Trade Risk Controls (Only required if Pre-Trade Risk Controls module selected above.)

Risk User Firm Type (Choose One):

- Entering Firm
- Broker Firm

- Clearing Firm (Populate NSCC#(s) below)

NSCC#: _____

NSCC#: _____

NSCC#: _____

Risk User Permissions (Choose One):

- View Only
- Risk Desk - View & Configure

- Risk Officer -
View, Configure, Action (Kill Switch & Reinstate)

Authorization and Acceptance*

*Signatory must be on file via the NYSE Pillar Trade Ops Portal - Authorized Administrators form available here:
https://www.nyse.com/publicdocs/nyse/NYSE_Pillar_Trade_Ops_Portal_Authorized_Administrators.pdf

By (Signature) _____ Date: _____

Print Name: _____

Title: _____

Phone: _____ Email: _____

Completed forms should be returned via email to crs@nyse.com.