

NYSE American Options

TERMINATION OF FLOOR BROKER

Date: _____

To: NYSE American Options Client Relationship Services Department ("CRS")

From: _____
American Trading Permit ("ATP") Firm

Re: _____
Floor Broker Name _____ Acronym(s) _____

Date of termination (Close of Business): _____

Temporary Termination

Date of Return: _____

Permanent Termination

Authorized Signature of ATP Firm _____

Checklist for terminating an ATP Floor Broker

1. ATP holders must notify the Exchange in advance of the proposed termination date.
2. Temporary terminations cannot exceed 180 days.
3. ATP holders must return floor badges and handhelds to floor staff.
4. In conjunction with a permanent termination, a Form U-5 for the "AF" registration category should be submitted on WebCRD® promptly but no later than 30 calendar days after the date of termination.
5. Individuals who wish to remain registered in the Interim Member Floor Broker Program should not submit this form or the Form U-5. **For more information about the Interim Member Floor Broker Program, please contact CRS via email at crs@nyse.com.*