

NYSE Arca Options

Registered Trader & Nominee Application

REGISTERED TRADERS

Each OTP Holder is required to register employees, nominees and associated persons in accordance with NYSE Arca Inc., rules ("Exchange rules"). Pursuant to Exchange rules, OTP Holders must complete the necessary documentation and submit such documentation in the manner prescribed. Individual traders of an OTP Holder must successfully pass any required examination and identify registration with the Exchange within any and all applicable categories on Form U4 including, but not limited to, the following:

- **OM** – Market Maker of OTP Holder (Series 57 prerequisite)
- **OM** – Floor Broker of OTP Holder (Series 57 prerequisite)

OTP Holder INFORMATION

Firm Name: _____ CRD: _____
 Type of Business: _____
 Contact Name: _____ Title: _____
 Phone: _____ Email: _____

INDIVIDUAL APPLICANT INFORMATION

Individual Name: _____ CRD: _____
 Date of Birth: _____
 Phone: _____ Email: _____

TYPE OF BUSINESS ACTIVITY TO BE CONDUCTED (Please check appropriate box below)

- | | |
|--|--|
| <input type="checkbox"/> Lead Market Maker (LMM) | <input type="checkbox"/> Remote Market Maker (RMM) |
| <input type="checkbox"/> Floor Market Maker (FMM) | <input type="checkbox"/> Floor Broker (FB) |
| <input type="checkbox"/> Market Maker Authorized Trader (MMAT) | <input type="checkbox"/> Office Nominee |

APPLICATION CHECKLIST

- A Form U-4 and Fingerprint card has been submitted directly to WebCRD©
- Individual has passed the required examination
- Individual has been granted a waiver of the required examination

AUTHORIZED ACKNOWLEDGEMENT OF APPLICANT FIRM

 Signature of Authorized Officer, Partner, Managing Member

 Date

 Print Name

 Title

INDIVIDUAL APPLICANT AGREEMENT

The undersigned applicant represents that the information and statements contained herein, including the attachments hereto, and other information filed herewith, all of which are parts hereof, are current, true and complete

 Signature of Individual Applicant

 CRD#

 Print Name

 Title