

**New York Stock Exchange LLC**  
**NYSE American LLC**  
**NYSE Arca, Inc.**  
**NYSE Chicago, Inc.**  
**NYSE National, Inc.**

**(Collectively, “NYSE” or the “Exchanges”)**

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***Application for Individual Registration or Non-Registered Associated Persons  
 (“NRF”) Designation***

**APPLICATION FOR INDIVIDUAL REGISTRATION OR NRF DESIGNATION**

**Individual Registration**

To be eligible for registration as defined in Exchange rules, an individual must (i) successfully complete the required examination(s), (ii) complete this Exchange application and any required Orientation Program, and (iii) submit a Form U4 and fingerprint card to Web CRD requesting the appropriate designation with the NYSE Exchange(s).

**NRF Designation**

To be designated as an NRF, employees and associated persons of a member organization are not required to register with the Exchange(s), but must (i) complete this Exchange application and (ii) submit a fingerprint card to Web CRD.

**INDICATE REGISTRATION or NRF DESIGNATION INDIVIDUAL IS SEEKING (CHECK ALL THAT APPLY)**

<b>Equities</b>	<b>Options</b>
<input type="checkbox"/> New York Stock Exchange LLC <input type="checkbox"/> ME - Designated Market Maker (Series 19 & DMM exam) <input type="checkbox"/> ME - Floor Broker (Series 19) <input type="checkbox"/> FL - Floor Clerk (Series 19) <input type="checkbox"/> FE - Floor Employee <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57)*†	<input type="checkbox"/> NYSE American <input type="checkbox"/> OM - Market Maker (Series 57) <input type="checkbox"/> OM - Floor Broker (Series 57) <input type="checkbox"/> OM - Specialist/eSpecialist (Series 57) <input type="checkbox"/> FE - Floor Employee <input type="checkbox"/> Office Nominee (NRF)
<input type="checkbox"/> NYSE American <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57)*† <input type="checkbox"/> MT - Electronic Designated Market Maker (Series 57) *†	<input type="checkbox"/> NYSE Arca <input type="checkbox"/> OM - Market Maker (Series 57) <input type="checkbox"/> OM - Floor Broker (Series 57) <input type="checkbox"/> OM - LMM (Series 57) <input type="checkbox"/> FE - Floor Employee
<input type="checkbox"/> NYSE Arca <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57)*† <input type="checkbox"/> MT - Lead Market Maker (Series 57) *†	
<input type="checkbox"/> NYSE National <input type="checkbox"/> MT - Market Maker Authorized Trader (Series 57) *†	
<input type="checkbox"/> NYSE Chicago <input type="checkbox"/> ME - Institutional Broker (IBR Exam + GS, TD or AR registration) <input type="checkbox"/> Clerk (NRF) <input type="checkbox"/> Voting Designee (NRF)	

\*Completed and signed Market Maker Orientation to be submitted

† The Exchange does not intend to impose different registration requirements on Equity MMATs than are required of Securities Traders. Approved Securities Traders will qualify to register in the MT category.

**INDIVIDUAL APPLICANT INFORMATION**

Applicant Name: \_\_\_\_\_ CRD: \_\_\_\_\_  
Title/Trading Floor Position: \_\_\_\_\_ DOB: \_\_\_\_\_  
Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**MEMBER ORGANIZATION INFORMATION**

Member Organization Name: \_\_\_\_\_ CRD: \_\_\_\_\_  
Primary Contact Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**APPLICATION CHECKLIST**

A Form U4 requesting appropriate registrations have been submitted to FINRA through Web CRD  
(See above for appropriate registration type for business activity.)

- Yes
- N/A (Individual is an NRF)

Does individual have any reportable events on Form U4 Web CRD?

- Yes
- No
- N/A (Individual is an NRF)

Individual has passed or been granted a waiver of the required examination

- Yes
- N/A (No exam requirement)

A Fingerprint Card is available on Web CRD

If applicable, Market Maker Orientation has been completed and is attached

**TO BE COMPLETED BY INDIVIDUALS REQUIRING PHYSICAL ACCESS TO THE FACILITIES OF THE EXCHANGE(S)**

<input type="checkbox"/> New York Stock Exchange LLC Equity Floor <input type="checkbox"/> NYSE American Options Floor <input type="checkbox"/> NYSE Arca Options Floor	Expected start date: (if known) _____
Position / Reason for access to the Trading Floor: _____	
Badge # (if applicable): _____	
Will individual require a Clerk Logon ID?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is individual currently active on the Exchange Trading Floor?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If no, has individual ever been active on the Exchange Trading Floor in the past?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Enter the last date individual was active on the Trading Floor:	_____
New or returning NYSE Floor Brokers, DMMs and Clerks have completed NFOP in last 6 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**AUTHORIZED ACKNOWLEDGEMENT**

I authorize NYSE and its affiliates to give any information they may have concerning me to any employer or prospective employer, any federal, state, or municipal agency, or any other SRO, and I release the Exchange, its affiliates and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.

I affirm my obligation to abide, in full, with the rules and regulations of the Exchange(s) and subject to its regulatory and disciplinary jurisdiction and that of its market and regulatory subsidiaries.

I swear or affirm that I have read and understand the items and instructions on this form and that my answers are true and complete to the best of my knowledge.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Member Organization Acknowledgment**

Authorized Signatory of Firm: \_\_\_\_\_

Print Name: \_\_\_\_\_ Date: \_\_\_\_\_