

New York Stock Exchange LLC (“NYSE” or the “Exchange”) Retail Liquidity Providers Application (“Application”)

Instructions: In order to ensure your Firm’s participation in the NYSE Retail Liquidity Provider (“RLP”) program and to ensure that connectivity is established between the NYSE and your Firm, and that only employees of your Firm have access to NYSE facilities and systems using your Firm’s connection, the completion of this application is required prior to RLP approval.

See NYSE Rule 107C for a full definition of terms and requirements of the RLP program.

1. Customer Information

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| Name of or Member Organization (“Firm”) | |
| Business Address | |
| Business Contact Name | |
| Business Contact Phone | |
| Business Contact E-Mail | |

2. Business and Technology Questions

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| Does your firm currently send orders to the Exchange using multiple mnemonics? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Please provide the NYSE mnemonics that will be dedicated and used for the RLP program. <i>Note: If you require additional space, please attach an Excel spreadsheet, and be sure to include only mnemonics that facilitate ‘proprietary’ orders. If additional mnemonics are needed, please complete the attached form.</i> | |
| As an NYSE Member or Member Organization, do you currently have connectivity to the Exchange? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Is this connection utilized for order routing, receiving market data or both? | <input type="checkbox"/> Order Routing <input type="checkbox"/> Receiving market data <input type="checkbox"/> Both |
| If you are using a Service Bureau (e.g., Order Management System “OMS”) for NYSE connectivity, please provide the name of the technology provider. | |
| On a separate attachment, please provide an overview of your trading technology infrastructure and operational support structure. Please include whether your Firm will be Co-Locating your Firm’s servers and the type of connection you will use (e.g. BCCG or CCG) to the NYSE systems. | |
| Please describe the current business structure of the division within your Firm that will become an RLP. | |
| Please include any documentation that will demonstrate your Firm’s ability to meet the 5% quoting requirement in your designated RLP securities pursuant to NYSE Rule 107C. | |

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| Name (Printed) | |
| Name (Signature) | |
| Title | |
| Date | |

Please return to Client Relationship Services at crs@nyse.com.