

**New York Stock Exchange LLC  
Regulated Only Membership Application**

This application is to be completed by an existing NYSE Member Organization.

**MEMBER ORGANIZATION INFORMATION**

Member Organization Name: \_\_\_\_\_  
Firm Web CRD #: \_\_\_\_\_  
LEI #: \_\_\_\_\_  
Address: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

**CONVERSION OF MEMBERSHIP TYPE**

Number of Trading Licenses Relinquished: \_\_\_\_\_  
Effective Date of Conversion: \_\_\_\_\_

**AUTHORIZED ACKNOWLEDGEMENT**

The undersigned certifies that as of the date hereof it is a Member Organization of the New York Stock Exchange LLC ("the Exchange"). We are relinquishing our Trading License(s) to access directly the trading facilities of the Exchange, but desire and intend to remain a Member Organization of the Exchange subject to the regulation thereof. As a Member Organization of the Exchange, the undersigned agrees to comply fully with all the rules of the Exchange as are in effect from time to time, and without limiting the foregoing, warrants and represents that it will continue to be fully subject to the jurisdiction of the Exchange.

\_\_\_\_\_  
Authorized Signatory

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name of Authorized Signatory

\_\_\_\_\_  
Title

\_\_\_\_\_  
Phone Number of Authorized Signatory

\_\_\_\_\_  
Email Address

Please email a completed copy of this form to Client Relationship Services at [crs@nyse.com](mailto:crs@nyse.com).