



Application For Trading Permit Information

Introduction

The Chicago Stock Exchange, Inc. ("CHX" or "Exchange") is pleased to provide to interested parties this Application to obtain a CHX Trading Permit. The application is divided into three sections.

- **Section One: Participant Information**
Identifies the various types of CHX applicants and lists the CHX requirements to obtain a Trading Permit. Contained within Section One are step-by-step instructions, which, when followed, should simplify what appears to be a complicated application process.
- **Section Two: Forms**
Contains all necessary forms. The form index in Section Two is cross-referenced to Section One to assist in identifying the required forms.
- **Section Three: Additional Information**
This section provides information on items such as fees, net capital requirements, CHX contact telephone numbers, etc.

Completed applications and all required documentation should be submitted to the following address:

The Chicago Stock Exchange, Inc.
Participant Services Dept Suite 510
440 South LaSalle Street
Chicago Ill. 60605-1070

The application review process at the CHX will begin when all required documentation is received. It is anticipated that the review and decision process should take no longer than 15 business days. Failure to include all required documents or submission of incomplete documents can delay the approval process.

There are various examination requirements for CHX participants and registered persons of CHX participant firms. Examination requirements for Institutional Brokers, Market Maker Traders and associated persons are noted in Section One, Additional Requirements. Examination requirements for certain registered persons, securities traders and other associated persons of participant firms engaging in proprietary or agency trading are noted in Section Three.

Thank you for your interest in the Chicago Stock Exchange. If you have questions about the Exchange or any of the Trading Permit requirements please call the Participant Services Department at **(312) 663-2581**.