

Chicago Stock Exchange, Inc.

Registered Trader Application

REGISTERED TRADERS

Each Chicago Stock Exchange, Inc. (CHX) Participant Firm is required to register any associated persons in accordance with the CHX Rules. Pursuant to the CHX Rules, Participant Firms must complete the necessary documentation and submit such documentation in the manner prescribed. Individual traders of a Participant Firm must successfully pass any required examination and have a Form U4 available on WebCRD.

- Institutional Broker Representative - IBR Exam in addition to the Series 7 or Series 57
- Market Maker Authorized Trader - Series 57

PARTICIPANT FIRM INFORMATION

Participant Firm Name: _____ CRD: _____

Contact Name: _____ Title: _____

Phone: _____ Email: _____

INDIVIDUAL APPLICANT INFORMATION

Individual Applicant Name: _____ CRD: _____

Date of Birth: _____

Phone: _____ Email: _____

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

- Institutional Broker Representative (IBR) Market Maker Authorized Trader (MMAT)
- Public Customer Business

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 Individual 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