



## Designation of Recipient for Service of Notice of Commission Proceeding

Firm/Sole Proprietor Name: \_\_\_\_\_ SEC ID No. \_\_\_\_\_

Above applicant consents that the notice of any proceeding before the Securities and Exchange Commission in connection with its application for registration, or its registration, as a broker-dealer may be given by sending notice by registered or certified mail or confirmed telegram to the person named below, at the address given.

First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_ Last Name: \_\_\_\_\_

Address 1: \_\_\_\_\_

Address 2: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_-\_\_\_\_ Ext. \_\_\_\_\_

Please return all forms to:

Participant Services Department  
Chicago Stock Exchange, Inc.  
440 S. LaSalle Street, Suite 800  
Chicago, IL 60605