



Application Information Form for Sole Proprietor

I, _____, am applying for a permit to trade on the Chicago Stock Exchange, Inc. ("CHX").

I have attached the following documents to this Application:

- A signed cover letter, which states how I intended to use the trading permit and in what types of business I intend to engage;
- A completed Form BD – Uniform Application for Broker-Dealer Registration;
- An executed and notarized copy of the Statement of Financial Condition, with an attached financial balance sheet;
- Copies of Focus II or FOCUS IIA forms for the most recent six months, or a statement that you are not required to file these forms;
- A copy of the most recent Confidential Annual Audit Report, which is prepared by your independent public accountant, or a statement that you are not required to prepare such audits;
- A completed Designation of Recipient for Service of Notice of Commission Proceedings form; and
- A copy of your completed and signed Form U4 – Uniform Application for Securities Industry Registration.

All capital required to conduct business has been and will continue to be furnished by:

I maintain the following books and records:

All other books and records required by law and the rules of the CHX are maintained and will be maintained for me by: _____

My business is assured of adequate funds by virtue of: _____

Description of business at CHX (check all that apply):

- CHX Registered Institutional Broker (“IB”)
- CHX Registered Market Maker (“MM”)
- Other _____

If “Other,” please describe in detail:

I, _____, do hereby swear that the information contained on this Application is true and correct to the best of my knowledge and belief.

(Signature)

(Date)

On this _____ day of _____, 20 ____, before me personally came known to me to be the individual described herein and who executed the foregoing instrument and he/she duly acknowledged to me that he/she executed the same.

(Signature of Notary Public) (Affix Notary Seal)

My Commission Expires: _____

Please return this Application with all required forms to:

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