



2013 Equity Trading License Application
New York Stock Exchange® For Trading Period ending 12/31/2013

Please Type or Print Clearly

<u>Organization and Contact Information:</u>	
Name of Member Organization:	
CRD Number:	
Primary Contact:	
Contact Name	
Email address	
Telephone /Fax	
Alternate Contact:	
Contact Name	
Email address	
Telephone /Fax	
Bill Address:	
Contact Name	
Member Firm Name	
Mailing Address	
City, State Province, Postal Code	
Country	

Member Organization will have the following Floor Members:

List name(s) of Members below for which a Trading License will be purchased. Indicate if currently approved as a NYSE Qualified Member. **Please note that any individual not currently so approved will be required to undergo a full application process, and there can be no guarantee that such process will be completed by the effective date of the new Trading Licenses.**

For Electronic Access the Trading License will be used without a Floor Member, no name need be provided below. **Important:** Each trading license entitles its holder to trading privileges for one trading Floor Member (e.g. electronic access only).

Name	Currently Qualified Member?	Expected Start Date
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>	
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>	
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>	
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>	
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>	
	Yes: <input type="checkbox"/> No: <input type="checkbox"/>	

To list more floor members, attach a separate page with this form.

Trading Licenses

Trading Licenses are available for \$40,000 per year billed monthly, pro-rated for the amount of time remaining for the year. The maximum number of Trading Licenses available is 1,366.

Number of Licenses to be purchased:

The undersigned Member Organization understands and agrees that

- 1 In the event this application is accepted, the undersigned will make timely payment of all amounts due in connection with the acquisition and holding of a Trading License as prescribed in Rules 300 and 300T.
- 2 The Rules of New York Stock Exchange LLC may be reviewed at www.nyse.com. As holder of a Trading License, the undersigned agrees to comply with such rules as they are in effect from time to time, and without limiting the foregoing, that it will be subject to the jurisdiction of New York Stock Exchange LLC.

Signature of Authorized Member Organization Representative:	
Print Name:	
Title:	
Date:	

Choose one of the following two methods to deliver this form:

Mail:

Michelle Liguori
NYSE Membership & Training
New York Stock Exchange
11 Wall Street, 20th Floor
New York, NY 10005

Email: mliguori@nyx.com

BELOW FOR NYSE USE ONLY

Accepted: Rejected:

Date of receipt:

Tracking Control
Number:

Logged In:

Notified: