

MEMX Market Maker Registration Application

Members applying to become Market Makers registered with MEMX LLC ("Exchange") are required to complete this Market Maker Registration Application. The Exchange may require additional information from any Applicant prior to determining whether to register such Applicant as a Market Maker.

To apply, please complete this Market Maker Registration Application and submit with all required supplementary materials through the Exchange's User Portal or via email to membership@memx.com.

Applicants are required to update any information submitted in the application when and if it becomes inaccurate or incomplete after submission.

GENERAL INFORMATION		
Date:	CRD #:	
Name of Applicant:		
Address of Principal Office:		
City:	State:	Zip:
APPLICATION CONTACT		
Name:	Title:	
Phone:	Email:	
OTHER BUSINESS ACTIVITIES		
<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Investment Banking <input type="checkbox"/> Market Maker </div> <div> <input type="checkbox"/> Public Securities Business <input type="checkbox"/> Dealer/Specialist </div> <div> <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Other: _____ </div> </div> <p>If the Applicant is a Market Maker or Dealer/Specialist, please provide a list of the registered national securities exchange(s) or association(s) on which the Applicant has been approved as such:</p> 		
SECURITIES		
Estimate the number of securities in which the Applicant intends to become registered as a Market Maker: _____		
NET CAPITAL		
<div style="display: flex; justify-content: space-between;"> <div>Excess Net Capital Amount: _____</div> <div>As of Date: _____</div> </div> <div style="margin-top: 5px;">Source of Net Capital: _____</div> <div style="margin-top: 5px;"> <input type="checkbox"/> Most recent FOCUS Report enclosed - required </div>		

MARKET MAKER AUTHORIZED TRADERS

To be eligible for registration as a Market Maker Authorized Trader ("MMAT"), as defined in Exchange Rule 1.5, a person must successfully complete proficiency examinations and continuing education requirements applicable to Authorized Traders, as set forth in Interpretation and Policies .01 and .02 to Exchange Rule 2.5¹. Market Makers must maintain a current list of MMATs who are permitted to enter orders on behalf of the Market Maker pursuant to Exchange Rule 11.20(a)(4).

Name: _____ CRD #: _____ Date of Employment: _____

☐ Series 7 Qualification ☐ Series 57 Qualification

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☐ Series 7 Qualification ☐ Series 57 Qualification

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☐ Series 7 Qualification ☐ Series 57 Qualification

The undersigned attests that the information provided in this application on behalf of the Applicant is complete and accurate. Furthermore, the undersigned acknowledges that the Applicant agrees to update the application as necessary, and to abide by all rules of the Exchange, and interpretations thereof, as they currently exist and as they may be added, supplemented and/or amended from time to time.

Signature of Authorized Officer, Partner or Managing Member or
Sole Proprietor

Printed Name

Title

Date

¹ In exceptional cases and where good cause is shown, the Exchange may waive such requirement. Contact Membership Services at membership@memx.com or (833) 415-6369 for more information regarding requesting a waiver of the proficiency exam requirement.