

Options Member Application

Any currently approved Member of MEMX LLC or MX2 LLC (each, an “Exchange”) is eligible to transact business on the Exchange’s Options Market provided that the Exchange specifically authorizes the Member as an “Options Member.” To become an Options Member, a current Exchange Member is required to complete this Options Member Application. An Applicant who is not currently an Exchange Member is required to complete the general Membership Application and Agreements and this Options Member Application to transact business on the Exchange’s Options Market.

To apply, please complete and submit all materials listed on the Application Checklist below through the Exchange’s User Portal or via email to membership@memx.com.

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

APPLICATION CHECKLIST
<input type="checkbox"/> Membership Application (if not already approved Member) <input type="checkbox"/> Options Member Application
<input type="checkbox"/> Options Member Agreement – per Exchange
<input type="checkbox"/> Options Member Letter of Guarantee – per Exchange (applicable to non-clearing Applicants) OR <input type="checkbox"/> Options Self Clearing Member Letter of Guarantee – per Exchange (applicable to clearing Applicants)
<input type="checkbox"/> Options Market Maker Registration Application (if applicable)
<input type="checkbox"/> A list of all Authorized Traders, including name and CRD # , the Applicant will be registering with the Exchange

Check applicable Exchanges: MEMX MX2

All application materials sent to the Exchange will be reviewed for completeness. All applications are deemed confidential and are handled in a secure environment. Applications may, however, be shared with other self-regulatory organizations (e.g., FINRA), as necessary, to evaluate and process the application.

The Exchange may request applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process, pursuant to Exchange Rule 17.1. If you have questions on completing the application, you may direct them to Membership Services at membership@memx.com or (833) 415-6369. In addition, please refer to the Exchange’s website at www.memxtrading.com for additional information regarding the membership process.

Options Member Application

GENERAL INFORMATION		
Date:	CRD #:	
Name of Applicant:		
Address of Principal Office:		
City:	State:	Zip:
BUSINESS CONTACT	BILLING CONTACT	
Name:	Name:	
Title:	Title:	
Email:	Email:	
Phone:	Phone:	
TYPE OF BUSINESS ACTIVITIES CONDUCTED BY APPLICANT (check all that apply)		
<input type="checkbox"/> Options Market Maker	<input type="checkbox"/> Public Customer Business	<input type="checkbox"/> Firm Proprietary Trading
<input type="checkbox"/> Other:	<input type="checkbox"/> Options Clearing Member	
DESIGNATED EXAMINING AUTHORITY		
Name of Applicant's Designated Examining Authority (DEA):		
EXAMINATIONS		
State the date of the Applicant's last examination during which supervisory procedures were reviewed and by which SRO.		
Date: _____	SRO: _____	
OPTIONS ALLOCATION METHOD		
Indicate the allocation method for exercise notices assigned in respect of a short position in Applicant's customers' accounts (Exchange Rule 23.2).		
<input type="checkbox"/> First in, first out	<input type="checkbox"/> Automated random selection	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Not applicable		
MARGIN REQUIREMENTS SELECTION		
Indicate the applicable initial and maintenance margin requirements (Exchange Rule 28.3).		
<input type="checkbox"/> Cboe Options	<input type="checkbox"/> NYSE	
PRINCIPAL REGISTRATION		
The Exchange requires each Options Member to be under the supervision and control of a Responsible Person who is registered with the Exchange as an Options Principal. Each Options Principal shall pass the appropriate Registered Options Principal Qualification Examination ("Series 4"), or an equivalent examination acceptable to the Exchange. See Exchange Rule 17.1(b) and 17.2(g) for additional information regarding principal registration. Please indicate below the individual that the Applicant intends to register with the Exchange to comply with these requirements.		
Name:	Title:	CRD #:
Business Address:		
Phone:	Email:	