

## MEMX Market Maker Registration Application

Members applying to become Market Makers registered with MEMX LLC and/or MX2 LLC (each, an "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](mailto: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:
EXCHANGE (check all that apply)		
<input type="checkbox"/> MEMX LLC <input type="checkbox"/> MX2 LLC		
APPLICATION CONTACT		
Name:	Title:	
Phone:	Email:	
OTHER BUSINESS ACTIVITIES		
<input type="checkbox"/> Investment Banking <input type="checkbox"/> Public Securities Business <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Market Maker <input type="checkbox"/> Dealer/Specialist <input type="checkbox"/> Other: _____		
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:		
SECURITIES		
Estimate the number of securities in which the Applicant intends to become registered as a Market Maker: _____		
NET CAPITAL		
Excess Net Capital Amount: _____ As of Date: _____		
Source of Net Capital: _____		
<input type="checkbox"/> Most recent FOCUS Report enclosed - required		

## 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 2.5<sup>1</sup>. 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

Seeking registration on: ☐ MEMX LLC ☐ MX2 LLC

Name: \_\_\_\_\_ CRD #: \_\_\_\_\_ Date of Employment: \_\_\_\_\_

☐ Series 7 Qualification ☐ Series 57 Qualification

Seeking registration on: ☐ MEMX LLC ☐ MX2 LLC

Name: \_\_\_\_\_ CRD #: \_\_\_\_\_ Date of Employment: \_\_\_\_\_

☐ Series 7 Qualification ☐ Series 57 Qualification

Seeking registration on: ☐ MEMX LLC ☐ MX2 LLC

Name: \_\_\_\_\_ CRD #: \_\_\_\_\_ Date of Employment: \_\_\_\_\_

☐ Series 7 Qualification ☐ Series 57 Qualification

Seeking registration on: ☐ MEMX LLC ☐ MX2 LLC

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

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