

# EDGX EXCHANGE, INC.

## MEMBERSHIP APPLICATION AND AGREEMENTS

Attn: Sales

In order to join EDGX Exchange, Inc., an applicant Broker-Dealer (“Applicant”) must complete and submit all materials listed on the Application Checklist below:

EDGX Exchange, Inc.  
545 Washington Boulevard  
Jersey City, NJ 07310

### APPLICATION CHECKLIST

- Membership Application, including the Statutory Disqualification Notice
- Clearing Letter of Guarantee (only if you are not self-clearing)
- User Agreement
- Routing Agreement
- Most recent signed and notarized Form BD, including schedules & disclosure reporting pages
- A Form U-4 for each officer, director and equity holder who owns 5% or more of Applicant’s outstanding equity interests, if not available on WebCRD.
- FOCUS Report since last annual audit
- Most recent audited annual financial statements, if applicable, and unaudited financial statements of the last month-end
- Organizational Documents: Articles of Incorporation and Bylaws; Partnership Agreement; Limited Liability Company Agreement or Operating Agreement; or similar documentation
- Letter of good standing from the Applicant’s Designated Examining Authority (DEA)

Note: All application materials sent to EDGX Exchange, Inc. (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 2.6. If you have questions on completing the application, you may direct them to Sales at [sales@directedge.com](mailto:sales@directedge.com) or 201.942.8259. In addition, please refer to the Exchange’s website at [www.directedge.com](http://www.directedge.com) for additional information regarding the Membership process.