

EDGX EXCHANGE, INC. CLEARING LETTER OF GUARANTEE

NOTICE OF CONSENT -To be completed by Clearing Member of Applicant Broker-Dealer.

In connection with the qualification of _____ (“Member”) as a member of EDGX Exchange, Inc. (“Exchange”) and pursuant to Exchange Rule 11.11, the undersigned Clearing Firm represents that it is a member of the Exchange and the National Securities Clearing Corporation (“NSCC”), a clearing agency registered with the Securities Exchange Commission pursuant to Section 17A of the Securities Exchange Act of 1934. The undersigned Clearing Firm accepts full responsibility for clearing and settling any and all transactions made by the Member and/or such persons having access to the Exchange pursuant to a sponsorship arrangement with the Member to the extent such transactions are executed on the Exchange or on other markets after being routed away from the Exchange.

This section shall be deemed a letter of guarantee, letter of authorization, or notice of consent pursuant to Exchange Rules and may be relied upon by Exchange. This Notice of Consent shall be subject to Exchange Rules, as amended from time to time, and shall remain in effect until revoked in writing by the Clearing Firm.

Clearing Firm (Broker-Dealer Name)

NSCC Clearing #

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

Print Name / Title

Date

CLEARING FIRM INFORMATION		
Firm: _____		
Address: _____		
City: _____	State: _____	Zip: _____
Business Contact		Billing Contact
Name: _____		Name: _____
Email: _____		Email: _____
Phone: _____		Phone: _____
Fax: _____		Fax: _____