

BATS Y-Exchange, Inc. Market Maker Registration Application

BROKER-DEALERS APPLYING TO BECOME MARKET MAKERS REGISTERED WITH BATS Y-EXCHANGE, INC. ("BATS YX" OR THE "EXCHANGE") MUST COMPLETE THE FOLLOWING APPLICATION. THE EXCHANGE MAY REQUIRE ADDITIONAL INFORMATION FROM AN APPLICANT PRIOR TO DETERMINING WHETHER TO REGISTER SUCH APPLICANT AS A MARKET MAKER.

Completed applications can be sent by e-mail (membershipservices@batstrading.com); fax (913.815.7119) or mail: BATS YX, Attn. Membership Services, 8050 Marshall Dr. Ste. 120, Lenexa, KS 66214

SECTION I. FIRM INFORMATION

A. NET CAPITAL

Excess Net Capital Amount: _____ As of Date: _____

Most recent Quarterly FOCUS report enclosed

B. SECURITIES

Estimate the number of securities in which the applicant Intends to become registered as a Market Maker:

C. OTHER BUSINESS ACTIVITIES

Public Securities Business Investment Banking Dealer / Specialist

Options Market Maker Other _____

D. INFORMATION BARRIERS

The applicant does not receive customers orders.

The applicant receives customer orders and represents to the Exchange that it has instituted an information barrier between its market making operation and customer business. **If this box is checked, the applicant must submit to the Exchange a copy of its written policies and procedures relating to such information barrier.**

The applicant receives customer orders and has not instituted an information barrier between its market making operation and customer business. **If this box is checked, the applicant must submit to the Exchange a copy of its written policies and procedures relating to the handling of customer orders in relation to its market making business, e.g., procedures addressing compliance with SEC Rule 604.**

E. OTHER AFFILIATIONS

Is the applicant a dealer / specialist or Market Maker on a registered national securities exchange or association?

Yes No

If yes, please provide a list of the other registered national securities exchanges or associations on which the applicant is a dealer / specialist or Market Maker: _____

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SECTION II. MARKET MAKER AUTHORIZED TRADERS

To be eligible for registration as a MMAT, as defined in BATS YX Rule 1.5(l), a person must successfully complete the General Securities Representative Examination (Series 7).¹ Complete as many forms of this page as necessary.

--MARKET MAKER AUTHORIZED TRADER

Full Name: _____ SSN: _____ Date of Birth: _____

Series 7 Qualification: Yes No CRD ID# _____

Form U4 is current and accessible for this person on Web CRD; or

Proof of passing Series 7 Test is enclosed.

--MARKET MAKER AUTHORIZED TRADER

Full Name: _____ SSN: _____ Date of Birth: _____

Series 7 Qualification: Yes No CRD ID# _____

Form U4 is current and accessible for this person on Web CRD; or

Proof of passing Series 7 Test is enclosed.

--MARKET MAKER AUTHORIZED TRADER

Full Name: _____ SSN: _____ Date of Birth: _____

Series 7 Qualification: Yes No CRD ID# _____

Form U4 is current and accessible for this person on Web CRD; or

Proof of passing Series 7 Test is enclosed.

--MARKET MAKER AUTHORIZED TRADER

Full Name: _____ SSN: _____ Date of Birth: _____

Series 7 Qualification: Yes No CRD ID# _____

Form U4 is current and accessible for this person on Web CRD; or

Proof of passing Series 7 Test is enclosed.

¹ in exceptional cases and where good cause is shown, the Exchange may waive such requirement; contact Membership Services at (913) 815-7002 for more information regarding requesting a waiver of the Series 7 requirement.