

MEMX Market Maker Registration Application

Members applying to become Market Makers registered with MEMX LLC (“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 via email to [TBD email address].

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:
APPLICATION CONTACT		
Name:	Title:	
Phone:	Email:	
OTHER BUSINESS ACTIVITIES		
<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> <input type="checkbox"/> Investment Banking <input type="checkbox"/> Market Maker </div> <div style="width: 30%;"> <input type="checkbox"/> Public Securities Business <input type="checkbox"/> Dealer/Specialist </div> <div style="width: 30%;"> <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Other: _____ </div> </div> <p style="margin-top: 10px;">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:</p> 		
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 2.5¹. 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

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 Series 7 Qualification Series 57 Qualification

Name: _____ CRD #: _____ Date of Employment: _____
 Series 7 Qualification Series 57 Qualification

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

¹ In exceptional cases and where good cause is shown, the Exchange may waive such requirement. Contact Membership Services at [TBD phone number] for more information regarding requesting a waiver of the proficiency exam requirement.