

# NON-MEMBER, ON-FLOOR PERSONNEL APPLICATION FOR REGISTRATION



All trading floor personnel, including clerks, interns, stock execution clerks and any other associated persons, of a member or participant organization not required to register pursuant to Rule 620(a) must: (i) register as such with the Exchange by completing the appropriate form(s) for non-registered persons (with periodic updates submitted by the member or participant organization).

\*\* Complete form in its entirety and return to the Membership Department.

1. Name: \_\_\_\_\_  
(last) (first) (mi)

2. Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

3. Social Security Number: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

4. Date of Birth \_\_\_\_\_ City & State of Birth \_\_\_\_\_

5. **Firm Information** (current employer)

Firm Name: \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

6. **Work History**

Provide a complete, consecutive list of all business and professional affiliations for the previous 5 years.

From mm/yy	To mm/yy	Name / address of employer	Position	Reason for termination

7. **I am registering as** (check appropriate boxes):

- On Floor Clerk – an individual who performs clerical or ministerial functions.
- Specialist Clerk - an individual who is employed by a member organization registered as a specialist.
- Stock Execution Clerk – an individual that handles orders that are contingent on an options transaction.
- Stand-Alone Stock Execution Clerk – an individual that handles stand-alone equity orders, i.e. orders that are not contingent on an options transaction.
- Off Floor associated person with limited floor access.
- Other - Describe principal job responsibilities \_\_\_\_\_  
 \_\_\_\_\_

8. Are you employed by more than one member firm? **Yes / No**  
 List additional firm \_\_\_\_\_

9. Are you employed in the securities industry in any other capacity? **Yes / No**  
 Explain capacity \_\_\_\_\_

10. Have you ever been indicted or formally charged with the violation of any criminal law? **Yes / No**  
 Provide details \_\_\_\_\_  
 \_\_\_\_\_

I hereby represent that, to the best of my knowledge and belief, the foregoing statements are true and correct.

\_\_\_\_\_  
 Applicant Signature Date

\_\_\_\_\_  
 Authorized Member Firm Signature Date

\_\_\_\_\_  
 Authorized Signer Printed Name Title

\_\_\_\_\_  
 Membership Department Signature Date

08/25/2008

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