



INDIVIDUAL MEMBERSHIP APPLICATION

A. General Information

I, _____ hereby make application to **NASDAQ OMX PHLX LLC** (“PHLX” or “Exchange”) for a Series A-1 Permit. I understand that by virtue of being granted a Permit that:

- To the best of my knowledge I meet the eligibility and application requirements set forth in the By-Laws and Rules of the Exchange.
- I am associated with a duly qualified and registered member organization and am a natural person of at least 21 years of age.
- I shall not hold more than a single Series A-1 Permit.
- I shall be entitled to all the rights, privileges and obligations of a member.
- As a member I may qualify only a single member organization and must designate a single eligible organization as my “primarily affiliated” member organization.
- I, along with each member organization that I am affiliated with, shall remain responsible for all obligations including, without limitation, all applicable dues, fees, charges, fines and other obligations.
- *My Permit* may not be transferred by lease, sale, gift, involuntary transfer, or any other means or as collateral to secure any obligation except as described in Rule 908(h) of the Exchange.

B. Permit Holder Information

Name:	Individual CRD No.
Title:	Date of Birth:
Email:	Phone:
Mailing address:	

C. Primary Affiliation

Member Organization:	Organization CRD No.	
Contact:	Title:	
Email:	Phone:	
Will applicant be the designated qualifier for the member organization: <i>(Rule 907 requires member organizations to designate at least one officer/partner of the organization for membership)</i>	Yes	No

D. Secondary Affiliation (if applicable)

If Applicant intends to affiliate with a second on-floor PHLX member organization, additional documentation evidencing the organizational structure of 75% common ownership pursuant to PHLX Rule 908(b)(i) is required. See Supplemental Material for further detail.

Member Organization:	Organization CRD No.	
Will applicant be the designated qualifier for this organization:	Yes	No

E. Business Type (Check all that apply)	
<p>ON FLOOR</p> <p>Specialist Registered Options Trader ("ROT") Floor Broker Inactive Nominee (<i>I understand that I can only conduct business on the Floor of the Exchange on behalf of the permit for which I am authorized and only on the days specified in my written activation notice</i>)</p>	<p>OFF FLOOR (no trading floor access)</p> <p>Remote Market Maker Remote Specialist Proprietary Trader (<i>no retail customer business</i>) Order Flow Provider NASDAQ OMX PSX Participation (<i>equity</i>)</p>
F. Statutory Disqualification Disclosure	
<p>Pursuant to the Securities Exchange Act of 1934, the Exchange may deny or condition trading privileges or bar an individual from becoming associated with a member organization, who is subject to a statutory disqualification. The term, statutory disqualification, is defined under section 3(a)(39)(F) of the Act.</p>	
<p>I am NOT subject to a statutory disqualification.</p> <p>I AM or may be subject to statutory disqualification. Attach the following information:</p> <ol style="list-style-type: none"> a. Description of your responsibilities within the organization. b. All documents relating to your disqualification. c. Explanation of action taken or approval by another SRO regarding disqualifying event. 	
G. Signatures	
<p>I hereby represent that, I have read and understand the above information and that the answers and attachments are, to the best of my knowledge and belief, true and correct. In consideration of admission to membership in the NASDAQ OMX PHLX LLC, I hereby pledge myself to submit to and abide by the By-Laws and Rules of the Organization, as now existing and as hereafter duly amended from time to time.</p>	
Applicant Signature:	Date:
Authorized Organization Signature (if different):	Date:
H. Supplemental Material	
<ul style="list-style-type: none"> • All PHLX permit holders are required to be registered with a full Uniform Application for Securities Industry Registration (Form U-4) in WebCRD in the appropriate registration categories pursuant to PHLX Rules 600 to 620; • Secondary Affiliation-If Applicant intends to affiliate with two member organizations pursuant to PHLX Rule 908(b)(i), the following must also be submitted with this application: <ol style="list-style-type: none"> i) Attestation of common ownership in accordance with Rule; ii) Name of individual(s) responsible for supervision of Applicant with respect to each affiliation; and iii) Designation of Exchange billing account responsible for membership fees associated with permit holder. 	

I. Application Filing Instructions

Questions may be directed to NASDAQ OMX Membership at +1 215 496 5159 or +1 215 496 5322.

Applications and supplemental material should be submitted by email to: membership@nasdaqomx.com.