

TXSE Market Maker Registration Application

Members applying to become Market Makers registered with Texas Stock Exchange 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 it with all required supplementary materials via email to membership@txse.com.

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; flex-wrap: wrap;"> <div style="width: 33%;"><input type="checkbox"/> Investment Banking</div> <div style="width: 33%;"><input type="checkbox"/> Public Securities Business</div> <div style="width: 33%;"><input type="checkbox"/> Proprietary Trading</div> <div style="width: 33%;"><input type="checkbox"/> Market Maker</div> <div style="width: 33%;"><input type="checkbox"/> Dealer/Specialist</div> <div style="width: 33%;"><input type="checkbox"/> Other:</div> </div> <p>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> <div style="height: 80px; border: 1px solid black; margin-top: 5px;"></div>		

MPID	
MPID(s) of Market Maker:	
SECURITIES	
Estimate the number of securities in which the Applicant intends to become registered as a Market Maker:_____	
NET CAPITAL	
Excess Net Capital Amount: _____ Source of Net Capital: _____ <input type="checkbox"/> Most recent FOCUS Report enclosed - required	As of Date:_____

MARKET MAKER AUTHORIZED TRADERS

To be eligible for registration as a Market Maker Authorized Trader (“MMAT”), as defined in Exchange Rule 1.005, 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 2.005¹. 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 11.018(a)(4).

Name: _____ CRD #: _____ Date of Employment: _____

☐ Series 7 Qualification

☐ Series 57 Qualification

Name: _____ CRD #: _____ Date of Employment: _____

☐ Series 7 Qualification

☐ Series 57 Qualification

Name: _____ CRD #: _____ Date of Employment: _____

☐ Series 7 Qualification

☐ Series 57 Qualification

Name: _____ CRD #: _____ Date of Employment: _____

☐ Series 7 Qualification

☐ Series 57 Qualification

WEBSITE DISCLOSURE AND DATA PROVIDED TO ISSUERS

Notwithstanding any provision to the contrary set forth in the User Agreement by and between the Exchange and the Applicant (the “User Agreement”) related to information or data that the Applicant or the Applicant’s agent enters into the Exchange (“Transaction Data”), the Applicant hereby grants to the Exchange a non-exclusive, non-assignable, non-transferable, worldwide, irrevocable license to receive and use Transaction Data solely within Exchange market data products that it offers exclusively to issuers relating to the market in the issuer’s own securities, even if such market data products present Transaction Data in a manner that provides the Applicant’s volume ranking on the Exchange in such issuer’s own securities. Further, the Applicant hereby agrees that the Exchange can publicly identify the Applicant as a Market Maker on the Exchange. Finally, the Applicant agrees that the Exchange can provide confidential information derived from Transaction Data solely to

¹ In exceptional cases and where good cause is shown, the Exchange may waive such requirement. Contact Membership Services at 214-612-0389 or via membership@txse.com for more information regarding requesting a waiver of the proficiency exam requirement.

issuers relating to the market in an issuer's own securities and that such information may include the Applicant's identity.

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