



SERVICE BUREAU APPLICATION

An applicant service bureau (“Applicant”) applying to receive authorized access to Investors’ Exchange LLC and/or IEX Options LLC (individually or collectively referred to herein as “IEX” or the “Exchange”, as applicable) as a Service Bureau must complete this Service Bureau Application (the “Application”) by executing and delivering all materials listed on the Application Checklist below via email to marketops@iextrading.com / OptionsMktOps@iextrading.com or postal mail to:

Investors’ Exchange LLC
Attn: Market Operations
3 World Trade Center, 58th Floor
New York, NY 10007

APPLICATION CHECKLIST

Service Bureau Application
<input type="checkbox"/> Service Bureau Application (pg. 2 – 3)
Service Bureau Agreement
<input type="checkbox"/> Service Bureau Agreement
Connectivity Agreements and Forms
<input type="checkbox"/> Connectivity Services Agreement (if connecting via Cross-Connect or Private Line Ethernet) <input type="checkbox"/> Equities and/or Options Physical Connectivity Order Form (if connecting via Cross-Connect or Private Line Ethernet) <input type="checkbox"/> Equities and/or Options Port Request Form(s), as applicable <input type="checkbox"/> Service Bureau Authorization (co-signed by Member Broker-Dealer)

Note: All application materials (collectively, the “Application”) sent to the Exchange will be reviewed for completeness. Applicant is required to notify IEX of any information/documentation submitted as part of this application process that becomes inaccurate or incomplete following submission. All Applications are deemed confidential by IEX and are handled in a secure environment. Applications may, however, be shared with self-regulatory organizations (e.g., FINRA) or law enforcement officials, as necessary, to evaluate and process the Application.

The Exchange may request applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process, pursuant to Exchange Rules 2.170 or 18.100, as applicable.

If you have questions on completing the Application Checklist, you may direct them to Market Operations at marketops@iextrading.com / OptionsMktOps@iextrading.com or 646.343.2310. In addition, please refer to the Exchange’s website at www.iex.io for additional information regarding the process.

[Remainder of page intentionally left blank.]



SERVICE BUREAU APPLICATION

GENERAL INFORMATION		
Firm:		
Address:		
City:	State:	Zip:
APPLICATION CONTACT (questions about the Application will be directed to this contact)		
Name:	Title:	
Phone:	Email:	
BUSINESS CONTACT	TECHNICAL CONTACT	
Name:	Name:	
Address:	Address:	
Email:	Email:	
Phone:	Phone:	
BILLING ADDRESS	BILLING CONTACT	
Firm:	Name:	
Address:	Address:	
City:	Email:	
State:	Zip:	Phone:
PORT SELECTION		
Port Type:	<input type="checkbox"/> FIX Order Entry <input type="checkbox"/> FIX Drop Copy <input type="checkbox"/> Binary Order Entry <input type="checkbox"/> Market Maker Quoting <input type="checkbox"/> Purge	
Quantity:	_____	
CONNECTIVITY		
Which connectivity option will you use? (check one)		
<input type="checkbox"/> Cross Connect <input type="checkbox"/> Extranet: _____ <input type="checkbox"/> Other: _____		
What type of connection are you requesting? <input type="checkbox"/> Test <input type="checkbox"/> Production		



AUTHORIZATION

The persons listed above are the only individuals authorized to order or update services at IEX on behalf of the Service Bureau. Please contact IEX Market Operations Desk at 646.343.2310 or marketops@iextrading.com / OptionsMktOps@iextrading.com to add or delete such authorized persons.

This form is governed by all of the terms and conditions set forth in the IEX Service Bureau Agreement. The Exchange provides a best effort attempt to cancel all open orders from a Member/Sponsored Participant upon a communications disconnect. There is no guarantee that the automatic cancel feature provided by the Exchange will be error free or will operate without interruption. By signing below, you agree and acknowledge that the Exchange is not liable or responsible in any way for any orders which may fail to be cancelled using the automatic cancel feature.

Members may call the IEX Market Operations Desk at 646.343.2310 to verbally request that all open orders be cancelled or check the status of open orders.

Service Bureau:

Date:

Print Name / Title:

Signature: