



IEX OPTIONS EXISTING MEMBER APPLICATION

An existing Member of Investors' Exchange LLC applying to become a Member of IEX Options LLC ("IEX" or the "Exchange"), must complete this IEX Options Existing Member Application. An applicant who is not currently a Member of Investors' Exchange LLC is required to complete the general Member Application to become a Member of the Exchange.

To become a Member of the Exchange, applicant must execute and deliver 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

Member Application
<input type="checkbox"/> IEX Options Existing Member Application
Additional Forms for Options Members
Order Entry Firm: <input type="checkbox"/> Options Clearing Letter of Guarantee (if Applicant is not self-clearing) <input type="checkbox"/> Authorized Traders List
Clearing Member: <input type="checkbox"/> Options Clearing Member Restriction Form <input type="checkbox"/> Authorization or Revocation of Restricted Clearing Number <input type="checkbox"/> Designated Give-Up Contact Form <input type="checkbox"/> Authorized Traders List
Market Maker: <input type="checkbox"/> Notification of OCC Account Information <input type="checkbox"/> Authorized Traders List
Connectivity Agreements and Forms
<input type="checkbox"/> Options Port Request Form (if not connecting via Service Bureau) <input type="checkbox"/> Options Physical Connectivity Order Form



Market Maker Application (if applying to become a Market Maker registered with the Exchange)

- Options Market Maker Application

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 Rule 18.100.

If you have questions on completing the Application Checklist, you may direct them to Market Operations at OptionsMktOps@iextrading.com or 646.343.2300. In addition, please refer to the Exchange’s website at www.iex.io for additional information regarding the process.

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IEX OPTIONS EXISTING MEMBER APPLICATION

GENERAL INFORMATION		
Date:	SEC BD Registration #:	CRD #:
Name of Applicant Broker-Dealer:		
MPID(s) of Applicant Broker-Dealer:		
Address of Principal Office:		
City:	State:	Zip:
BILLING ADDRESS		
Address of Billing Office:		
City:	State:	Zip:
APPLICATION CONTACT (questions about the Application will be directed to this contact)		
Name:	Title:	
Phone:	Email:	
BUSINESS CONTACT	BILLING CONTACT	
Name:	Name:	
Title:	Title:	
CRD # (if applicable):	CRD # (if applicable):	
Email:	Email:	
Phone:	Phone:	
SUPERVISOR OF AUTHORIZED TRADERS	AML COMPLIANCE OFFICER	
Name:	Name:	
Title:	Title:	
CRD # (if applicable):	CRD # (if applicable):	
Email:	Email:	
Phone:	Phone:	



TYPE OF BUSINESS ACTIVITIES APPLICANT PLANS TO CONDUCT ON IEX (check all that apply)

- Market Maker* Public Customer Business Clearing Services Firm Proprietary Trading
 Other: _____

* Please execute and deliver the Options [Market Maker Application](#) to Market Operations.

TRADING PERMITS

- Market Maker* Order Entry Firm Clearing Member

* Please execute and deliver the Options [Market Maker Application](#) to Market Operations.

ADDITIONAL INFORMATION

Name of Applicant's Designated Examining Authority (DEA) _____

State approximate dates of last inspection of Applicant's books and records by the SEC, FINRA (formerly NASD) or any other regulator. If any material deficiencies were revealed, please explain (attach an additional sheet if more space is needed):

SEC: _____

FINRA: _____

Other: _____

Name of Regulator: _____

Has Applicant during the past three years been subject to the notification and reporting requirements under SEC Rule 17a-11 because of a net capital or record keeping problem?

- Yes No

If yes, please explain:

PRINCIPAL REGISTRATION

The Exchange requires each Member to be under the supervision and control of an Options Principal as defined under Exchange Rule 17.100. Each Options Principal shall pass the appropriate Registered Options Principal Qualification Examination ("Series 4"), or an equivalent examination acceptable to the Exchange. See Exchange Rule 17.100 for additional information regarding principal registration. Please indicate below the individual that the Applicant intends to register with the Exchange to comply with these requirements.



DESIGNATED OPTIONS PRINCIPAL

Name:	CRD #:
Business Address:	
Phone:	Email:

The undersigned represents that the information and statements contained herein, including exhibits attached hereto, are current, true, complete, and accurate.

By executing this Application, the undersigned agrees as follows:

- (1) To abide by, comply with, and adhere to the provisions of the Exchange’s Certificate of Incorporation, its By-Laws, the Exchange Rules, the policies, interpretations and guidelines of the Exchange and all orders and decisions of the Exchange’s Board of Directors and penalties imposed by the Board of Directors, and any duly authorized committee (such agreement is not to be construed as a waiver by the undersigned of any right to appeal provided in the Securities Exchange Act of 1934, as amended);
- (2) To pay such dues, fees, assessments, and other charges in the manner and amount as shall from time to time be fixed by the Exchange.
- (3) The Exchange and its officers, employees and members of its Board of Directors and of any Exchange committee shall not be liable, except for willful malfeasance, to the Applicant or to any other person, for any action taken by such director, officer, or member in his official capacity, or by any employee of the Exchange while acting within the scope of his employment, in connection with the administration or enforcement of any of the provisions of the Certificate of Incorporation, By-Laws, Exchange Rules, policies, interpretations or guidelines of the Exchange or any penalty imposed by the Exchange, its Board of Directors or any duly authorized committee;
- (4) In cases where the Applicant fails to prevail in a lawsuit or administrative adjudicative proceeding instituted by the Applicant against the Exchange of any of its officers, directors, committee members, employees or agents, to pay the Exchange or any of its officers, directors, committee members, employees or agents, all reasonable expenses, including attorneys’ fees, incurred by the Exchange in the defense of such proceeding, but only in the event that such expenses exceed Fifty Thousand Dollars (\$50,000.00), provided that such payment obligation shall not apply to internal disciplinary actions by the Exchange or administrative appeals;
- (5) To maintain and make available to the Exchange, its authorized employees and its Board of Directors or committee members such books and records as may be required to be maintained by the Securities and Exchange Commission or Exchange Rules; and
- (6) To provide such other reasonable information with respect to the Applicant as the Exchange may require.

Applicant acknowledges its obligation to update any and all information contained in any part of this Application, including termination of membership with an SRO, which may cause a change in the Applicant’s DEA. It is understood that in that event, additional information may be required by the Exchange.

Applicant

Signature of Duly Authorized Representative

Date

Print Name

Title