

Market Maker Authorized Trader Registration (“MMAT”) Form

New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc., NYSE National, Inc.

This form is to be completed by a member organization, ATP Holder, OTP Firm or ETP Holder (each, a “Member”) registering individuals as MMATs on New York Stock Exchange LLC (“NYSE”), NYSE American LLC (“NYSE American”), NYSE Arca, Inc. (“NYSE Arca”) or NYSE National, Inc. (“NYSE National”) (each, an “Exchange”)

Prior to completing this MMAT Form, the Member registering an MMAT should be familiar with the rules of the relevant Exchange(s), including, but not limited to NYSE Rule 7.21; NYSE American Rules 7.21E, 921NY and 921.1NY; NYSE Arca Rules 7.21-E, 6.33-O and 6.34-O; and NYSE National Rule 7.21.

To be eligible for registration as a MMAT, as defined in Exchange rules, an individual must:

- (i) successfully complete the required examination(s);
- (ii) submit a Form U4 and fingerprint card to CRD requesting the appropriate designation with the Exchange(s); and
- (iii) complete any orientation as prescribed by the Exchange and available on the Exchange’s website (a copy of the completed orientation must be retained by the Member registering the MMAT).

MARKET MAKER MEMBER INFORMATION	
Member Organization Name: _____	CRD: _____
Contact Name: _____	Title: _____
Phone: _____	Email: _____
INDICATE EXCHANGE FOR WHICH MMAT REGISTRATION IS BEING REQUESTED (CHECK ALL THAT APPLY)	
Equities MT - Market Maker Authorized Trader (Series 57)* †	Options OM - Market Maker (Series 57)
<input type="checkbox"/> NYSE <input type="checkbox"/> NYSE American <input type="checkbox"/> NYSE Arca <input type="checkbox"/> NYSE National	<input type="checkbox"/> NYSE American <input type="checkbox"/> NYSE Arca

** Market Maker Orientation to be completed and maintained by Member Organization:*

https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Exchanges_Market_Maker_Orientation.pdf

† The Exchange does not intend to impose different registration requirements on Equity MMATs than are required of Securities Traders. Approved Securities Traders will qualify to register in the MT category.

MMAT Registration Request			
Individual MMAT Name:		CRD #:	<input type="checkbox"/> Orientation completed for “MT”
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Individual MMAT Name:		CRD #:	<input type="checkbox"/> Orientation completed for “MT”
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Individual MMAT Name:		CRD #:	<input type="checkbox"/> Orientation completed for “MT”

Please use multiple copies of this Form to request additional MMAT registrations.

Completed Form should be returned to Client Relationship Services at crs@nyse.com.

Authorized Signatory of Firm: _____

Print Name: _____ Date: _____