

Seat # _____



Membership Owner Application

Name of Applicant / Organization: _____

Official Mailing Address: _____

	Firm Applicants	Individual Applicants
Tax ID Number	_____	Social Security No. <u>XX - XXX -</u> _____
Primary Contact	_____	Date of Birth _____
Title	_____	

Phone Number: _____ Alternate Phone Number: _____

Fax Number: _____ E-mail Address: _____

A. Type of membership applied for:

- Regular
- Options Principal
- Limited Trading Permit

B. How will purchase be financed?

- Applicant's Funds
- Funds From Organization Associated With Applicant
- Pension Plan Funds
- Subordinated Loan Agreement
- Nominal Transfer

(Note: Copies of all agreements relative to financing the transfer/purchase of a membership must be submitted to and approved by the Exchange.)

C. I hereby represent that I have not entered into, nor will I enter into, without the permission of the American Stock Exchange, any obligation, agreement, acknowledgment or understanding, oral or written, with respect to the membership to be acquired or the proceeds of the sale thereof, except as indicated above.

D. I submit, or agree to submit prior to becoming a membership owner, the following exhibits as part of this application:

- (1) Completed Uniform Application for Securities Industry Registration ("Form U-4")
(individual owners only)
- (2) Current statement of financial condition
- (3) Any other information or documents requested by the Exchange, relative to this application.

I hereby pledge myself to abide by the Constitution and Rules of The American Stock Exchange as the same has been or shall be from time to time amended, this pledge to become effective upon my acquisition of the membership.

I hereby represent that, to the best of my knowledge and belief, the foregoing statements are true and correct.

I recognize that I may be the subject of an investigative consumer report ordered by The American Stock Exchange, and hereby authorize and consent to The American Stock Exchange obtaining such report.

I authorize and request any and all of my former employers and any other person to furnish to the American Stock Exchange LLC and any agent acting on its behalf any information that they may have concerning my character, general reputation, personal characteristics, mode of living and credit worthiness. Moreover, I hereby release each such employer and each such other person from any and all liability of whatever nature by reason of furnishing such information to the American Stock Exchange LLC, and any agent acting on its behalf. Further, I recognize that I will be the subject of an investigative consumer report ordered by the American Stock Exchange LLC, and I understand that, upon written request within a reasonable period of time, additional disclosure concerning the nature and scope of the investigation will be provided by the Exchange.

I authorize the American Stock Exchange LLC to make available to any employer or prospective employer, to any other exchange or securities organization, or to any federal, state or municipal agency, or to any other person or organization, any information it may have concerning me, and I hereby release the American Stock Exchange LLC from any and all liability of whatever nature by reason of furnishing such information.

[If Applicant is an individual, sign and print name below:]

[If Applicant is an organization, authorized signatory should sign and print his/her name and title and the name of the organization below:]

By: _____

By: _____

Print Name: _____

Print Name: _____

Title: _____

Organization: _____

Date: _____

Witness: _____

Witness: _____

Note: This statement does not need to be witnessed by a Notary if it is executed and witnessed in the Membership and Registration Department of the American Stock Exchange

STATE OF _____ ss:

COUNTY OF _____

On this _____ day of _____, 20 _____, before me personally appeared _____ to me known and known to me to be the individual described in, and who executed the foregoing instrument and acknowledged to me that he/she executed the same for the purpose named.

IN TESTIMONY WHEREOF, I have hereunto subscribed my name, and affixed my seal of office, the day and the year last above written.

Notary Public

NOTE: If executed outside the State of New York, attach County Clerk's Certificate as to the appointment of the Notary Public.