

Application for Membership – Short Form

☐ Cross Divisional \$100 From: NYMEX/COMEX		tatement \$300 n 60 days)	☐ Reinstatement \$500 (Within 61 days – 1 Year)	
To: NYMEX/COMEX	(*******	00 dayo,	(William O' dayo ' Frodi)	
Name:	First	Middle	 Last	
Division of Membership: _			Acronym:	
Address:				
City:	State:	Zip:		
Business Phone #:		Cellular Phone	#:	
E-mail:		Home Phone #	·	
Social Security#:		Date of Birth:	<u> </u>	
Executive report be main and warrant the truthfulness be asked by the Members completeness of the informapproved for membership. EXPULSION FOR FRAUE CME, CBOT, NYMEX or Complete or dishonest conduction for membership with his application, may be	reship at (please chooses of my answers to a hip Committee or CM nation contained in the COMEX who, after a hit prior to becoming a popular of the expelled from memis membership may he	ne. se one): □CME all questions on this all E Group Exchange Shis application through PRIOR TO APPROVE nearing before a Hearmember, and/or of fair faving made a false obership in the excharace sold at auction in a	□CBOT □NYMEX □COMEX Special □CBOT □NYMEX Special □CBOT □C	ay of ion
USE OF MEMBERSHIP (
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5. □ To act as a floor brown		Ourit		
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Previous Exchange members must answer these questions appropriately even if the information was provided on a previous membership application. If you answer "yes" to any of the following questions, a typewritten statement must be attached giving complete details, as to dates, parties, circumstances and disposition. You must also include copies of official court documents, police reports and regulatory notices.

Since your last member application:

1.	Have you or any firm or organization of which you are or were a principal of, been refused admission to (including the denial, withdrawal, revocation or termination of an application for membership or registration expelled, suspended, fined, censured or otherwise disciplined through an adverse determined, voluntary settlement or otherwise in an action, arbitration or proceeding brought by or before any regulatory agency.				
	exchange, or association?	□ Yes □ No			
2.	Are you or any firm with which you are or were a principal of, currently under investigation by agency, exchange or association as set forth in (1) above for the violation of its rules or other charges been brought against you, or any firm with which you are associated, by such regular	erwise, or have			
	exchange, or association for such violation or otherwise?	□ Yes □ No			
3.	Have you been disqualified from trading?	□ Yes □ No			
4.	Have you been requested to relinquish your trading privileges?	□ Yes □ No			
5.	Have you been subject to a disciplinary action or terminated for cause by an employer?	□ Yes □ No			
6.	Have you been charged in a criminal action, indicted for a violation of any federal or state law, been refused admission to (including the denial, withdrawal, revocation or termination of an application for membership or registration), rejected, expelled, suspended, or fined, censured or otherwise disciplined by the Commodity Futures Trading Commission (CFTC), the Securities Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), Federal Energy Regulatory Commission (FERC), or the National Futures				
	Association (NFA)?	□ Yes □ No			
7.	Have you been charged in a criminal action, indicted for a violation of any federal or state law	dicted for a violation of any federal or state law?			
		□ Yes □ No			
8.	Have you been convicted of any misdemeanor or felony?	□ Yes □ No			
9.	Have you had any significant financial/credit difficulties (including, but not limited to, filing for personal or professional bankruptcy, had involuntary bankruptcy proceedings filed against you, collection accounts, civil judgments and tax liens)? □ Yes □ No				
10.	Have you any unsatisfied indebtedness to anyone or any entity in the commodity futures or sincluding any Exchange member or member firm)?	securities industry ☐ Yes ☐ No			

CONDITIONS OF MEMBERSHIP:

It shall be an offense against the Exchange and a violation of Exchange Rules 131 and 432 to make a misstatement upon a material point to CME Group Exchange staff or on an application for membership.

I understand that a membership obtained by fraudulent representation or concealment, or by any material misstatement, shall be disposed of by the Exchange, as provided for in Rule 131.

I do hereby agree that, if I am approved as a member of the Exchange, I will observe and be bound by the Bylaws, Certificate of Incorporation, Rules and Regulations of the applicable Exchange(s), and all amendments thereto.

I understand that the CME Group Exchange may conduct, or cause to be conducted, an investigation into my character, general reputation, and personal characteristics and that the CME Group Exchange may retain a consumer reporting agency for that purpose. I also understand that, upon my written request, CME Group Exchange will disclose to me in writing the nature and scope of the investigation if conducted by a consumer reporting agency. I hereby authorize the Exchange to conduct an investigation as to my credit, character, general reputation, educational history and personal characteristics.

I hereby authorize and direct any commodity and/or security exchange of which I am or have been a member, to release to the Exchange all information concerning disciplinary action taken against me, or a firm in which I am or was a principal.

I hereby authorize the release of this membership application as well as my membership file for review by the primary clearing member that I designated on this application or which I may designate in the future.

I authorize and request any and all of my former employers and any other persons to furnish to the Exchange any information they may have concerning my character, ability, business activities and reputation, financial background and credit worthiness, together with, in the case of former employers, a history of any employment by them and the reasons for termination thereof; and I hereby release each such employer and each such other person from any and all liability of whatsoever nature of furnishing such information to the Exchange.

The Exchange will not recognize or administer any security agreement with respect to the ownership of this membership. Proceeds of the sale of this membership will be distributed as specified in Rule 110.

Furthermore, by signing this application, I confirm that if conducting business through CME Group electronic markets I am not prohibited by any regulator (U.S. or otherwise) to which I am required to report.

The undersigned, by filing application for a membership privilege with the Membership Services Department, agrees to take no recourse against any CME Group entity or any of its Directors, Officers, Committee Members, or employees by way of any and all manner of actions, suits, controversies, judgments, executions, claims or demands, in law of equity, if the undersigned is not approved to be a member, except as may be permitted under Section 8c of the Commodity Exchange Act.

I, say that I have read and understand the contents of the foregoing statement and that all of the information contained hereinbefore is true, accurate, and complete.							
X		Date					
Signature of applicant							
Notary Signature							
Subscribed and sworn before me this	day of	20					

Notary stamp or seal