



Application for Membership – Short Form

☐ **Cross Divisional \$1000**

From: NYMEX/COMEX

To: NYMEX/COMEX

☐ **Reinstatement \$300**

(Within 60 days)

☐ **Reinstatement \$500**

(Within 61 days – 1 Year)

Name: _____
First Middle Last

Division of Membership: _____ **Exchange:** _____ **Acronym:** _____

Address: _____

City: _____ **State:** _____ **Zip:** _____

Business Phone #: _____ **Cellular Phone #:** _____

E-mail: _____ **Home Phone #** _____

Social Security#: _____ **Date of Birth:** _____

☐ By checking this box, I am requesting that general CME Group member mailings including the weekly Special Executive report be mailed electronically to me.

I hereby apply for membership at (please choose one): ☐ CME ☐ CBOT ☐ NYMEX ☐ COMEX

and warrant the truthfulness of my answers to all questions on this application and to any other questions that may be asked by the Membership Committee or CME Group Exchange Staff. I agree to maintain the accuracy and completeness of the information contained in this application throughout the application process and until I am approved for membership.

EXPULSION FOR FRAUD OR DISHONESTY PRIOR TO APPROVAL FOR MEMBERSHIP. Any member of CME, CBOT, NYMEX or COMEX who, after a hearing before a Hearing Committee, is found to have been guilty of fraud or dishonest conduct prior to becoming a member, and/or of failing to make full disclosure thereof in his application for membership, or is found guilty of having made a false statement of a material fact in or in connection with his application, may be expelled from membership in the exchange upon affirmative vote of a majority of the Hearing Committee, and his membership may be sold at auction in accordance with the auction procedures set forth in Rule 133, within 10 days after expulsion.

USE OF MEMBERSHIP (chose all that apply):

1. ☐ Membership will not be used for trading purposes
2. ☐ To trade electronically off the trading floor
3. ☐ To trade on the trading floor for my own account
4. ☐ To trade for the following proprietary account: _____
5. ☐ To act as a floor broker
6. ☐ Other (please describe): _____
7. ☐ Name of qualifying clearing firm: _____

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 a regulatory agency, exchange or association as set forth in (1) above for the violation of its rules or otherwise, or have charges been brought against you, or any firm with which you are associated, by such regulatory agency, 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? ☐ 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 securities industry (including any Exchange member or member firm)? ☐ 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.

