



# Application for Non-Member Floor Access

Charges: \$115.00 initial, \$75 per quarter (no-prorations)

**Fees are non-refundable**

Required: Gov't. Photo ID or passport

Firm Employer: Firm Stamp, Seal or letter signed by an Authorized Person

Floor Clerk

**Please read this document carefully. All questions must be answered truthfully. Any abuse of the privilege, violation or a non-disclosure on the application could be cause for revocation of floor access. Also, an applicant who has an affirmative answer that is deemed to be serious or questionable will not be allowed access until approval is obtained.**

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_ MI: \_\_\_\_\_

List any other names you have been known by, including maiden name: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Last 4 digits of Social Security no.: \_\_\_\_\_

Telephone: ( ) \_\_\_\_\_ I.D. No. \_\_\_\_\_  
Type: home cell other (list type) \_\_\_\_\_ (Driv.License, State ID or Passport No.)

Are you authorized to work in the United States?  Yes or  No

### Employer Information (complete one section only)

MEMBER

FIRM

Hiring MEMBER Name: \_\_\_\_\_

Hiring FIRM Name: \_\_\_\_\_

Member Symbol: \_\_\_\_\_

Firm Number: \_\_\_\_\_

### For Office Use Only

Proc. by: \_\_\_\_\_ Date: \_\_\_\_\_ Access Badge No: \_\_\_\_\_

Employer Present: \_\_\_\_\_

ID Type: \_\_\_\_\_ EDB #: \_\_\_\_\_ OR CME Group #: \_\_\_\_\_

No. of BA's: \_\_\_\_\_ Appr. By: \_\_\_\_\_ Date: \_\_\_\_\_

Acct # \_\_\_\_\_ Billed Date: \_\_\_\_\_ Entered By: \_\_\_\_\_

**Barred List Check? Yes/No NFA? Yes/No IL? Yes/No IN? Yes/No OFAC? Yes/No**

**Violation Disclosure Check? Yes / No If "YES complete the following:**

**Compl./Mbrshp. Authorization Yes / No By Whom: \_\_\_\_\_ Date: \_\_\_\_\_**

**Employer Authorization Yes / No Contacted: \_\_\_\_\_ Date: \_\_\_\_\_**

## PLEASE READ CAREFULLY

All questions must be answered truthfully. Failure to do so may result in denial of trading floor access. Place an X in any box that applies. You will be required to fill out paperwork at the time of submission and may be asked to submit legal documentation.

- (A) Have you, or any firm of which you were a principal, ever been convicted, plead guilty, entered a plea of no contest, or entered into a voluntary settlement agreement with respect to any violation of any criminal law or penal code other than minor traffic violations?

YES  NO

- (B) Except for having been found to have violated an Exchange's trading floor dress or eating code, have you ever been refused admission to (including the denial, withdrawal, revocation or termination of any application for membership or registration), expelled, suspended, fined, censured or otherwise disciplined through an adverse determination, voluntary settlement or otherwise in an action or proceeding brought by or before:

- (1) a Commodity Exchange, Association or Board of Trade, whether foreign or domestic? YES  NO
- (2) the Commodity Futures Trading Commission? YES  NO
- (3) the National Futures Association? YES  NO
- (4) a Clearing Organization? YES  NO
- (5) a Securities or Options Exchange, whether foreign or domestic? YES  NO
- (6) the Securities and Exchange Commission? YES  NO
- (7) the National Association of Securities Dealers ? YES  NO   
(now known as the Financial Industry Regulatory Authority)

- (C) Are you or any firm of which you are a principal, currently under investigation by a regulatory agency, exchange or Association as set forth in (B) above for the violation of its rules or otherwise, or have charges been brought against you, or any firm of which you are a principal, by such regulatory agency, exchange or association for such violation or otherwise?

YES  NO

*If you have answered "YES" to any of the questions, please fill out the attached page or submit a written explanation on a sheet of paper.*

DATE OF VIOLATION:

CHARGE AND DESCRIPTION OF THE VIOLATION:

WHAT WERE THE CIRCUMSTANCES?

WHAT WAS THE PENALTY IMPOSED AND WAS IT COMPLETED SATISFACTORILY?

NAME OF DISCIPLINING AUTHORITY:

\*Please note, court documentation may be requested in order to obtain a temporary and/or permanent badge.

X

**SIGNATURE**

**DATE**

AGREEMENT TO BE SUBJECT TO EXCHANGE RULES

I hereby acknowledge that trading floor access at the CME Group is a privilege. In consideration for CME and/or the CBOT granting me trading floor access, I agree that I am subject to all of the rules and interpretations of the Exchange applicable to employees of members or member firms. In this Agreement, "the Exchange" shall refer to either CME or the CBOT, or both, depending on which exchanges(s) will grant trading floor access to the applicant.

I agree that if I violate any of those rules or interpretations of the Exchange I will be subject, without limitations, to the provisions of Chapter 4 (ENFORCEMENT OF RULES) of those rules and I may be disciplined in accordance with those rules in the same manner that a member or member firm may be disciplined.

I agree that I may be subject to disciplinary action for any rule violations committed by me during the term of such employment, even after I am no longer employed by or associated with a member or member firm of the Exchange. I agree that the Exchange may, in its sole discretion, disclose to my employer(s), in accordance with Exchange rules, the existence of any Exchange investigation involving me or pertaining to my employment with a member firm or individual member(s) of the Exchange and the conduct which is the subject of investigation. I agree that I will resolve any questions relating to the enforceability of the following contract terms of any employment agreement with a member or member firm through arbitration at the Exchange:

- (1) non-compete clauses, to the extent that they relate to the Exchange
(2) terms of employment on the trading floor; and
(3) financial arrangements relating to the resolution of error trades.

I understand that I am not required to submit to arbitration any claim that includes allegations of a violation of federal, state or local employment discrimination, wage payment or benefit laws.

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

I received, read and understand the information in the CME Group Equal Opportunity and Anti-Discrimination/Harassment Statement.

It is mandatory that you attend the fingerprint session assigned to you, if applicable. Failure to appear will result in the loss of access to the trading floor until this requirement is met.

APPLICANT'S CERTIFICATION

I hereby certify that I have read and understood the foregoing statements and the instructions for Non-Member Access to the floor of the Exchange. I further certify that each of my responses thereto is true and complete to the best of my knowledge and that the responses in any and all prior applications filed with the Exchange are also true and complete. Additionally, I certify that I have never been convicted of any felony or misdemeanor, other than motor vehicle violations or what has been disclosed. I understand that upon termination of my relationship with the individual certifying this application below, I shall return my non-member badge to the member or member firm who signed this application below. I further understand that CME and CBOT Rule 501 prohibits non-members holding a floor clerk badge from having any interest whatsoever in a commodity futures or options account and from soliciting customers or benefiting from the production of orders. I agree to be subject to the Rules and Regulations of CME and/or the CBOT, depending on which exchange(s) grant me trading floor access.

I have read and understand the content of this Agreement and agree to be bound by its terms.

Employee

Name: Signature: Date:

MEMBER'S OR MEMBER FIRM'S CERTIFICATION

I am aware of the Rules and Regulations of the Exchange and, based upon an investigation of the applicant's background, have reason to believe that the applicant is a person of good character. I have exercised reasonable care to verify that the statements contained in this application are accurate and that there are no material omissions of fact.

I shall be responsible for ensuring that my employee complies with all Exchange rules and may, subject to a determination by an Exchange disciplinary committee, be liable for any fines imposed upon such employees by the Exchange.

I understand that the individual member or member firm signing this application has the responsibility to return the access card of the applicant and that failure to cancel the clerk by the last business day of the quarter results in the automatic billing of a non-refundable quarterly charge.

Failure to return the cancelled card within 30 days from the date of cancellation will result in an additional, non-refundable fee.

I ASSUME FULL RESPONSIBILITY FOR THE ACTIONS OF THE APPLICANT ON THE EXCHANGE FLOOR.

SIGNATURE OF HIRING MEMBER OR MEMBER FIRM/AUTHORIZED SIGNER

PRINTED NAME

SYMBOL OR TITLE OF SIGNER

FIRM

DATE

## NOTICE CONCERNING THE PROCESSING OF BIOMETRIC INFORMATION

CME GROUP INC. ("CME Group) hereby provides notice to the individual named below that:

1. CME Group utilizes biometric information for the purpose of conducting criminal background checks prior to issuing a security access badge to any CME Group facility and/or for granting access to CME Group's secure facilities. This biometric information, for purposes of this Notice, consists of electronic fingerprints (to conduct a criminal background check prior to issuing a security access badge) and hand geometry scans (to access secure areas), as applicable.
2. Except when required by law to retain the biometric information for a longer period, CME group will not retain this biometric information after an individual's relationship with CME Group is terminated and/or an individual's access to CME Group's secure facilities (as applicable) has terminated.
3. Upon termination of an individual's relationship with CME Group and/or an individual's access to CME Group's secure facilities (as applicable), CME Group will permanently destroy the biometric information and permanently remove it from CME Group's records.

## AUTHORIZATION CONCERNING BIOMETRIC INFORMATION

I have reviewed, and I understand, the Notice Concerning Processing of Biometric Information, above. I hereby consent to CME Group's collection, use and retention of biometric information as described above and to CME group, where applicable, submitting Biometric Information to the Illinois State Police to perform a criminal background check pursuant to CME Group's Global Background Check Policy.

Printed Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



## **CME Group Equal Opportunity and Anti-Discrimination/Harassment Statement\***

CME Group<sup>1</sup> is committed to complying with all applicable laws and regulations regarding equal opportunity and anti-discrimination and harassment. CME Group is also committed to providing an environment on the trading floor that is free from unlawful discrimination or harassment based on any legally protected characteristic. The principles of non-discrimination and equality of opportunity apply to the way in which CME Group personnel, members, and employees of members and member firms treat each other as well as visitors to the trading floor.

Since CME Group is a global company, and the laws and regulations regarding protected characteristics vary by the location of the applicable CME Group company, office and/or facility, CME Group is not able to provide a comprehensive list of all protected characteristics by location in this Statement. We can, however, provide information about what characteristics are generally protected under equal opportunity and anti-discrimination and harassment laws. The following are protected characteristics in most locations in which CME Group operates, including the trading floor: race, color, religion, age, gender, sexual orientation, national origin, disability, pregnancy and maternity, marital status, and veteran or military status. In many jurisdictions, the following characteristics are also protected: gender identity, ancestry, alienage, citizenship, genetic disposition, partnership status (as defined by applicable law). To the extent that any other characteristic is protected under the laws and regulations applicable to the location of the trading floor, we will comply with such laws and regulations.<sup>2</sup>

Discrimination may occur when a decision is made or adversely impacts a person, because of that person's protected characteristic. In the context of individuals working as employees of members or member firms on the trading floor, this would primarily be decisions the employer member makes about a non-member's employment terms.

Discrimination may also occur if an individual is subject to verbal or physical conduct that denigrates or shows hostility or aversion towards an individual because of that person's protected characteristic(s) and that conduct unreasonably interferes with the individual's ability to perform their duties on the trading floor by creating an intimidating and/or hostile work environment. This type of discrimination is called harassment and is also prohibited.

Harassment can take many forms and can be related to any protected characteristic but the most common form of harassment is sexual harassment. Sexual harassment occurs when an individual is subject to unwelcome sexual advances, requests for sexual favors or other unwanted verbal or physical conduct of a sexual nature and:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- Submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual; or
- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance, violating an individual's dignity, or creating an intimidating, hostile, degrading, humiliating or offensive working environment.

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<sup>1</sup> CME Group Inc. is a publicly traded holding company and the parent company of Chicago Mercantile Exchange Inc., Board of Trade of the City of Chicago, Inc., New York Mercantile Exchange, Inc. and Commodity Exchange, Inc. This Statement applies to all companies wholly-owned and controlled by CME Group.

<sup>2</sup> For more information about the specific characteristics protected by the laws and regulations applicable to you, please contact CME Group's Human Resources department at [human.resources@cmegroup.com](mailto:human.resources@cmegroup.com).



Examples of conduct that could possibly constitute sexual harassment include without limitation:

- Unwelcome requests for sexual favors
- Lewd or derogatory comments or jokes
- Comments regarding sexual behavior or the body of another employee
- Sexual innuendo and other vocal activity such as cat calls or whistles
- Obscene letters, notes, text messages, invitations, photographs, cartoons, articles or other written or pictorial materials of a sexual nature
- Continuing to express a romantic or sexual interest after being informed the interest is unwelcome
- Retaliating against an employee for refusing a sexual advance or for reporting an incident of possible sexual harassment to CME Group or any government agency
- Offering or providing favors or employment benefits such as promotions, favorable evaluations, favorable assigned duties, etc., in return for sexual favors
- Offering or providing sexual favors in exchange for employment benefits such as promotion, favorable evaluations, favorable assigned duties, etc.
- Any unwanted physical touching or assault, or blocking or impeding movements

If you believe that you may have been subject to discrimination in any form while working on the trading floor, including harassment because of any characteristic protected under applicable law, that interferes with your ability to perform your duties on the trading floor, you are encouraged to report the conduct. If the matter involves a CME Group employee, you can inform a member of CME Group management working on the trading floor, contact CME Group's Human Resources department at [human.resources@cmegroup.com](mailto:human.resources@cmegroup.com) or contact CME Group's Compliance & Ethics Helpline at [www.ethicspoint.com](http://www.ethicspoint.com) or the following applicable number:<sup>3</sup>

United States 877.338.4545  
Brazil 0800.8911667  
China 10.800.120.1239  
Hong Kong 800.964214  
Japan 00531.121520  
Singapore 800.1204201  
United Kingdom 08.000328483

Once CME Group receives a complaint of discrimination, we will review it and conduct an investigation to try and determine whether unlawful discrimination occurred. If the matter involves the conduct of a non-CME Group employee (e.g. a member or a member or member firm's non-member employee), you can inform CME Group's Market Regulation Department at 312-341-3333 or a member of CME Group management working on the trading floor or you can contact CME Group's Compliance & Ethics Helpline (see above for details). Matters involving non-CME Group employees will be investigated by Market Regulation pursuant to the applicable rules. CME Group's expectation is that individuals working on CME Group's trading floor will cooperate with any CME Group investigation, including an investigation of a complaint of discrimination. Any individual found to have engaged in discriminatory conduct will be subject to appropriate discipline or other action, up to and including the termination of access to the trading floor.

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<sup>3</sup> Please note that CME Group is not a position to investigate complaints about alleged discriminatory conduct by non-CME Group employees that occurs outside of the trading floor.



***CME Group will not retaliate or tolerate retaliation against any individual who uses this process in good faith for reporting discrimination or who cooperates with any CME Group investigation. If you believe you have been subject to retaliation, please follow the complaint procedures above. Anyone found to have engaged in retaliation will be subject to discipline or other action, up to and including the termination of access to the trading floor. Anyone found to have made false allegations in bad faith will also be subject to appropriate discipline or other action, up to and including the termination of access to the trading floor.***

You are encouraged to raise any questions you may have regarding this Statement via the CME Group Compliance and Ethics Helpline (see above for details).

***\*Please note that this Statement may go beyond what is required by law in certain situations and locations. In such situations, this Statement is not intended to and does not create a contract or any other legal rights that do not exist under the laws and regulations of the applicable jurisdiction. In addition, you are expected to comply with this policy and other applicable CME Group policies as amended from time to time.***