



Application for Membership – Short Form Returning Member within 1 year

Returning w/in 60 days
Fee \$300

Returning > 60 days
Fee \$500

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 Membership Bulletin be mailed electronically to me.

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

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. If you previously submitted documentation for any “yes” answers, you do not need to resubmit the documentation but you should note “previously disclosed” on this 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 determination, 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 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 ever been disqualified from trading? Yes No
4. Have you ever been requested to relinquish your trading privileges? Yes No
5. Have you ever 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. Had any complaints or litigation filed against you, or any firm in which you were an officer or director? Yes No
8. 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/ or tax liens)? Yes No
9. 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 133.

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.

Applicants applying for membership hereby consent to use by CME Group and its affiliates of proprietary data or other personal information regarding the applicant/member received by CME Group and its affiliates from time to time through the conduct of their businesses, including any data submitted to them to fulfill regulatory obligations, for commercial, business and marketing purposes. Without the prior consent of the applicant/ member, CME Group and its affiliates will not reveal to non-affiliated third-parties on a non-aggregated, non-anonymized basis any of the following information that is obtained from the applicant/member to fulfill regulatory obligations: (i) personally identifiable information, (ii) detailed transaction data, (iii) position data, (iv) investigative materials, or (v) financial source documents, except (w) as necessary to fulfill its regulatory obligations, (x) as permitted by law, (y) as required or requested by regulatory authority or (z) pursuant to a valid court order, subpoena or equivalent legal instrument.

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.

In order to be eligible for membership with any of the following DCMs (Chicago Mercantile Exchange, Inc., the Board of Trade of the City of Chicago, Inc., the New York Mercantile Exchange, Inc., and the Commodity Exchange, Inc.), applicants (individuals or corporates) must ensure that their request for membership is lawfully made in accordance with the laws of the jurisdiction in which they are located.

Should such a request be made unlawfully, each of the DCMs shall have the right to terminate said membership. In this situation, the sale of membership process currently described under Rule 132 of the rulebook of the Relevant DCM shall be followed.

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

PERSONAL FINANCIAL STATEMENT (U.S. Dollars)

ASSETS

Cash and checking accounts*	\$ _____
Savings Accounts*	\$ _____
Money market funds*	\$ _____
Investments (i.e. stocks, bonds, mutual funds, 401K, brokerage accounts)*	\$ _____
Real Estate (Fair Market Value)*	\$ _____
Other*	\$ _____
Total Assets	\$ _____

LIABILITIES

Charge accounts, credit cards	\$ _____
Notes payable	\$ _____
Tax Liens	\$ _____
Mortgage(s)	\$ _____
Other	\$ _____
Total Liabilities	(\$ _____)

Total Net Worth

\$ _____

* Supporting Documentation to be provided upon request.

PLEASE READ CAREFULLY

**CONSUMER REPORT
DISCLOSURE AND AUTHORIZATION**

By signing your name in the space below, you authorize and direct CME to conduct an investigation of your employment, commodity and or security exchange history, credit, financial, and criminal conviction history through any consumer reporting agencies or bureaus that CME chooses to use.

Signature of Applicant

Date