

## New York Stock Exchange LLC (“NYSE” or the “Exchange”) Retail Liquidity Providers Application (“Application”)

**Instructions:** In order to ensure your Firm’s participation in the NYSE Retail Liquidity Provider (“RLP”) program and to ensure that connectivity is established between the NYSE and your Firm, and that only employees of your Firm have access to NYSE facilities and systems using your Firm’s connection, the completion of this application is required prior to RLP approval.

See NYSE Rule 107C for a full definition of terms and requirements of the RLP program.

### 1. Customer Information

Name of or Member Organization (“Firm”)	
Firm Web CRD #	
Business Contact Name	
Business Contact Phone	
Business Contact E-Mail	

### 2. Business and Technology Questions

Is your firm currently an approved NYSE Member Organization and either a Designated Market Maker (“DMM”) or Supplement Liquidity Provider (“SLP”)? NYSE requires RLP applicants to be registered as either a DMM or SLP.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please provide the NYSE MMID that will be used for the RLP program and corresponding symbols that should be assigned to each.*  <b>Please Note:</b> Only one of your Firm’s MMID’s can be designated as the RLP in a given symbol. However, your Firm can use different MMID’s for different symbols.  MM ID: _____ Symbols: _____ MM ID: _____ Symbols: _____ MM ID: _____ Symbols: _____ MM ID: _____ Symbols: _____  *If necessary, applicant may attach a separate list of MMIDs and corresponding symbols.	
If you are using a Service Bureau (e.g., Order Management System “OMS”) for NYSE connectivity, please provide the name of the technology provider.	
Please describe the current business structure of the division within your Firm that will become an RLP.	
On a separate attachment, please provide an overview of your trading technology infrastructure and operational support structure.	
Please include any documentation that will demonstrate your Firm’s ability to meet the 5% quoting requirement in your designated RLP securities pursuant to NYSE Rule 107C.	

Name (Printed)	
Name (Signature)	
Title	
Date	

**Please return to Client Relationship Services at [crs@nyse.com](mailto:crs@nyse.com).**