



EDX Markets and Clearing Membership Application

Introduction

In order to become a member of EDX Markets LLC (“EDX Markets”)and/or EDX Clearing LLC (“EDX Clearing”), collectively EDX, an applicant (“Applicant”) must complete and submit all materials listed on the Application Checklist, as well as a participant due diligence questionnaire (which will be provided after submission of the application form) via email to onboarding@edxmarkets.com. Note, if you are seeking membership as a Retail Member Organization, a supplementary initial application form is required. Please return all forms and any supplementary materials to: onboarding@edxmarkets.com.

If you have questions regarding the application process or any key considerations related to your membership eligibility, please contact the Membership Team at membership@edxmarkets.com or (347) 333-4185. EDX Markets reserves the right to request further information or supporting documentation from applicants to determine their suitability for membership.

Rulebook

All members are bound by the rules of EDX Markets and/or EDX Clearing and must ensure compliance with these rules. EDX Clearinghouse and Marketplace rulebooks can be found here: <https://edxmarkets.com/regulations/>

Member Agreements

Details of EDX’s trading and clearing services can be found on the website. All members of the Marketplace and Clearinghouse are bound by the terms of the Markets User agreement and Clearing Member User Agreement, respectively.

Applicants are required to update any information submitted in this application if and when it becomes inaccurate or incomplete after submission.

All application materials sent to EDX will be reviewed for completeness. All applications are deemed confidential and are handled in a secure environment. Applications may, however, be shared with regulators or self-regulatory organizations as necessary, to evaluate and process the application.

EDX may request applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process, pursuant to Marketplace Rule 2.6 and Clearinghouse Rule 802. If you have questions on completing the application, you may direct them to Membership Services at membership@edxmarkets.com or (347) 333-4185. In addition, please refer to EDX’s website at www.edxmarkets.com for additional information regarding the membership process.



EDX Membership Application

<p>Members are required to provide EDX complete and up to date contact lists. Only those persons named as Membership, Trading or Compliance contacts will have authority to request certain changes to the members trading profile, e.g., mass order deletion, trade busts.</p>			
APPLICANT INFORMATION			
Name of Applicant:			
Incorporation (State, Country):			
Incorporation Date (month/date/year):			
Address of Principal Place of Business:			
City:	State/Country:	Zip/Postal Code:	
PARENT INFORMATION (if applicable)			
Full Name of Ultimate Parent:	Jurisdiction:	Regulator or Supervisory Authority of Ultimate Parent:	
BUSINESS CONTACT		BILLING CONTACT	
Name:		Name:	
Title:		Title:	
Email:		Email:	
Phone:		Phone:	
COMPLIANCE CONTACT		TECHNICAL CONTACT	
Name:		Name:	
Title:		Title:	
Email:		Email:	
Phone:		Phone:	
TRADING CONTACT		SUPERVISOR OF AUTHORIZED TRADERS	
Name:		Name:	
Title:		Title:	
Email:		Email:	
Phone:		Phone:	
TYPE OF ORGANIZATION			
<input type="checkbox"/> Corporation	<input type="checkbox"/> Limited Liability Company	<input type="checkbox"/> Partnership	<input type="checkbox"/> Sole Proprietorship
# of Employees : _____			
TYPE OF BUSINESS ACTIVITIES CONDUCTED BY APPLICANT (check all that apply)			
<input type="checkbox"/> Market Maker	<input type="checkbox"/> Retail Member Organization	<input type="checkbox"/> Institutional	<input type="checkbox"/> Clearing Only <input type="checkbox"/> Other



BUSINESS ACTIVITIES

1. Please describe and explain the nature of your business activities as they relate to EDX.

2. Who is your customer base?

3. Whose funds are you trading?

4. Are any of the entity's or its parents' shares publicly traded? If Y, please explain.

Are any of the direct or indirect owners government enterprises? If Y, please explain.

LOCATION OF ACCOUNTS

1. Do you self-custody or custody with a third party custodian (including on exchanges)? Please specify the custodian and/or exchange(s), if applicable.

2. Where do you consider the jurisdiction of your custodian or self-custody? Please explain.

3. Where is your leadership team based and where are trading decisions made?

4. Is your trading algorithmic trading? If so, are any decisions to trade made outside of algos, or is deploying (or withdrawing deployment of) an algo the only "trading decision" made by the firm? Please clarify where such decisions are made.

5. What entities own the IPs associated with your algorithm and where are those entities domiciled?

6. Where are your transactions signed?

7. What is your bank's name and in what country is it located?



CREDIT UTILIZATION REQUEST

Are you requesting to trade on a pre-funded basis? Yes No

Please provide your requested trading limits per asset on EDX (total % Allocations should equal 100%):

<u>Asset</u>	<u>Y/N</u>	<u>Short Limit</u>	<u>Long Limit</u>
<u>USD (Total USD Amount)</u>			
<u>BTC (% Allocation)</u>			
<u>ETH (% Allocation)</u>			
<u>LTC (% Allocation)</u>			

APPLICANT REGULATOR (check all that apply)

Do your business activities as they relate to EDX require a license? Yes No

If no, please explain.

If yes, please indicate which license(s) you hold?

- NY - BitLicense
 - State Trust Charter
 - Federal Bank
 - FinCEN MSB
 - State Money Service Transmitter Licenses (list all States where a license has been obtained):
-

Other: _____

ADDITIONAL INFORMATION

State approximate dates of last regulatory review and/or inspection of Applicant's books and records by federal or state regulators and/or any other regulator or self-regulatory organization.

State Regulator:

Federal Regulator:

Other Regulator:

If any material deficiencies were revealed, please explain:



AML COMPLIANCE OFFICER	
<p>Pursuant to the Marketplace Rules, each Member is required to designate, and identify to the Marketplace, a person or persons responsible for implementing and monitoring the day-to-day operations and internal controls of the Member's anti-money laundering program. A Member must provide prompt notice to the Marketplace regarding any change in this designation.</p>	
Name:	Title:
Phone:	Email:

DISCIPLINARY HISTORY	
<p>Pursuant to EDX's Rules, each Member is required to disclose to EDX any violations of provisions of the Rules or any applicable agreement with EDX, or engaged in a violation of law that might materially impact the operation of EDX, or other members. Any such violations must be disclosed to EDX as soon as practicable.</p>	
Has the applicant been convicted of any criminal offence? Has the company been subject to any regulatory or enforcement action? If yes, please provide copies of remediation action plans.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the applicant been the subject of an adverse finding by, or settlement with, any government agency, court, exchange, trading venue, or regulatory body?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the applicant ever gone into insolvency, bankruptcy, liquidation or administration or equivalent proceedings?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the applicant been the subject of any disciplinary or criminal proceedings or been the subject of any investigation by any authority which may lead to such proceedings?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is the company currently engaged with any regulatory or enforcement agency for any deficiencies, including AML and sanctions deficiencies? If yes, please explain.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the applicant been: <ul style="list-style-type: none"> • refused authorization or license to carry out business or to be a member of an exchange or trading venue • Had any such authorization, membership or license revoked or terminated? • Or been disqualified from acting as a director? 	<input type="checkbox"/> Yes <input type="checkbox"/> No

[Remainder of page intentionally left blank.]



The undersigned represents that the information and statements contained herein, including exhibits attached hereto, are current, true and complete.

By executing this Application, the undersigned agrees as follows:

- (1) To abide by, comply with, and adhere to the provisions of the Marketplace and/or Clearinghouse Rules, the policies, interpretations and guidelines of EDX and all orders and decisions of the EDX's Board of Directors and penalties imposed by the Board of Directors, and any duly authorized committee;
- (2) To pay such dues, fees, assessments, and other charges in the manner and amount as shall from time to time be fixed by the Marketplace and/or Clearinghouse.
- (3) EDX and its officers, employees and members of its Board of Directors and of any EDX's committees shall not be liable, except for gross negligence, willful misconduct, or fraud, to the Applicant or to any other person, for any action taken by such director, officer, or member in his official capacity, or by any employee of EDX while acting within the scope of his employment, in connection with the administration or enforcement of any of the provisions of the Certificate of Incorporation, EDX Markets LLC Agreement, the EDX Clearing LLC Agreement or EDX's Rules, policies, interpretations or guidelines of EDX or any penalty imposed by EDX, its Board of Directors or any duly authorized committee;(4)
- (5) To maintain and make available to the Marketplace and/or Clearinghouse, its authorized employees and its Board of Directors or committee members such books and records as may be required to be maintained by the Marketplace and/or Clearinghouse Rules; and
- (6) To provide such other reasonable information with respect to the Applicant as EDX may require.

Applicant acknowledges its obligation to promptly update any and all information contained in any part of this application. It is understood that in that event, additional information may be required by EDX.

Signature of Authorized Officer, Partner or Managing
Member or Sole Proprietor

Date

Printed Name

Title



Disclaimer

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Contact Details

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