

BATS Y-Exchange, Inc. Market Maker Registration Application

Broker-Dealers applying to become Market Makers registered with BATS Y-Exchange, Inc. (the "Exchange") are required to complete a Market Maker Registration Application. The Exchange may require additional information from any Applicant prior to determining whether to register such Applicant as a Market Maker. Applicants are required to update any information submitted in the application when and if it becomes inaccurate or incomplete after submission.

To apply, please complete and submit this Market Maker Registration Application via fax to 913.815.7119, email to membershipservices@bats.com or certified or first class mail to: BATS Y-Exchange, Inc., Attn: Membership Services, 8050 Marshall Drive, Suite 120, Lenexa, KS 66214.

GENERAL INFORMATION		
Date:	CRD #:	
Name of Applicant Broker-Dealer:		
Address of Principal Office:		
City:	State:	Zip:
MPID(s) to be used:		
SECURITIES		
Estimate the number of securities in which the Applicant intends to become registered as a Market Maker: _____		
OTHER AFFILIATIONS		
Is the Applicant a dealer/specialist or Market Maker on a registered national securities exchange or association?		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, please provide a list of the other registered national securities exchange(s) or association(s) on which the Applicant is a dealer/specialist or Market Maker:		
NET CAPITAL		
Excess Net Capital Amount: _____ As of Date: _____		
<input type="checkbox"/> Most recent Quarterly FOCUS Report enclosed		
MARKET MAKER RESTRICTIONS – EXCHANGE RULE 14.1(c)(5)		
Restrictions apply to a Market Maker registered in a UTP Derivative Security that derives its value from any of the following: one or more currencies or commodities; derivatives based on one or more currencies or commodities; or a basket or index comprised of currencies or commodities (collectively, "Reference Assets"). Exchange Rule 14.1(c)(5)(A) restricts a Market Maker registered in a UTP Derivative Security ("Restricted Market Maker") from <u>acting or registering as a Market Maker</u> on any other exchange in any Reference Asset of that UTP Derivative Security, or any derivative instrument based on a Reference Asset of that UTP Derivative Security (collectively, with Reference Assets, "Related Instruments").		
In addition, Exchange Rule 14.1(c)(5)(B) requires that all Restricted Market Makers file with the Exchange and keep current a list identifying any accounts in which Related Instruments are traded and the Restricted Market Maker: (1) holds an interest; (2) has investment discretion; or (3) shares in the profits and/or losses.		
If the applicant is a Restricted Market Maker, please submit a current list of accounts in which Related Instruments are traded to the Market Oversight Department at surveillance@bats.com		

MARKET MAKER AUTHORIZED TRADERS

To be eligible for registration as a MMAT, as defined in BYX Rule 1.5(l), a person must successfully complete the General Securities Representative Examination (Series 7)¹. Complete as many forms of this page as necessary.

Name: _____ CRD #: _____

Series 7 Qualification: Yes No

Form U4 is current and accessible for this person on Web CRD OR Proof of passing the Series 7 is enclosed

Will a web log-in be required for this individual? Yes No

If yes, please provide the information below:

Email address: _____ Phone Number: _____

Name: _____ CRD #: _____

Series 7 Qualification: Yes No

Form U4 is current and accessible for this person on Web CRD OR Proof of passing the Series 7 is enclosed

Will a web log-in be required for this individual? Yes No

If yes, please provide the information below:

Email address: _____ Phone Number: _____

Name: _____ CRD #: _____

Series 7 Qualification: Yes No

Form U4 is current and accessible for this person on Web CRD OR Proof of passing the Series 7 is enclosed

Will a web log-in be required for this individual? Yes No

If yes, please provide the information below:

Email address: _____ Phone Number: _____

Name: _____ CRD #: _____

Series 7 Qualification: Yes No

Form U4 is current and accessible for this person on Web CRD OR Proof of passing the Series 7 is enclosed

Will a web log-in be required for this individual? Yes No

If yes, please provide the information below:

Email address: _____ Phone Number: _____

¹ In exceptional cases and where good cause is shown, the Exchange may waive such requirement. Contact Membership Services at 913.815.7002 for more information regarding requesting a waiver of the Series 7 requirement.