



I hereby apply for membership in the New York Mercantile Exchange's NYMEX and/ or COMEX Division. I submit herewith a statement in connection with my application and a personal financial statement as of the last day of the month preceding the date of this application.

If I am admitted to membership in the New York Mercantile Exchange, Inc., and / or Commodity Exchange, Inc., I agree to abide by and be subject to the By-Laws and Rules of the said Exchange(s) and each of them as they now exist, and any amendments which may be made thereto in the future.

I authorize the New York Mercantile Exchange's NYMEX and/ or COMEX Division to conduct an investigation into my credit, character, and general reputation, and to employ an agency for that purpose. In this connection, I authorize any securities, commodity exchange, or other regulatory body of the Commodity Futures Trading Commission to release to the New York Mercantile Exchange's NYMEX and/ or COMEX Division all information about me, which is mandated by such exchange, body, or regulatory authority. Whether such information is pending or final at any exchange, body, or regulatory authority, I also agree to release the Exchange from any liability arising therefrom.

All parties waive the right to trial by jury in any action or proceeding arising out of, based upon, or in any way related to either this membership application, employment as a member, or use of Exchange facilities or services. I submit to the in personam jurisdiction of State and Federal courts located in the City and State of New York. I waive personal service and consent to service of process by registered or certified mail to the most current address I have reported to the Exchange. Nothing in this membership application shall effect the right of the Exchange to serve legal process in any other manner permitted by law or effect the right of the Exchange to bring any action or proceeding against me or my property in a court of any other jurisdiction.

Except as otherwise expressly provided in the Exchange Rules, neither the Exchange, nor any of its directors, officers, members, employees, or agents shall be liable under any circumstances whatsoever to me or any third party for any losses, expenses, damages, or claims, consequential or otherwise, including, but not limited to personal injury (and death resulting therefrom), whether or not resulting from negligence or willful misconduct on its, his, or their part that arise out of (i) the use or employment of the facilities or services afforded by the Exchange, (ii) any interruption in or failure or unavailability of any such facilities or services, or (iii) any action taken or omitted to be taken in respect to the business of the Exchange. If the foregoing disclaimer and limitation of liability should be deemed invalid or ineffective by a court of competent jurisdiction, neither the Exchange, or its respective members, directors, managers, officers, employees or agents of the Exchange shall be liable for any of the foregoing beyond the actual amount of the loss or damage, or the sum of fifty dollars (\$50.00), whichever is less. If any provisions of this membership application is held by a court of competent jurisdiction to be contrary to law, the remaining provisions of this membership application will remain in full force and effect.

I acknowledge that trading at the Exchange is accomplished by open outcry in a trading ring or "pit" and that the trading environment is one of close physical proximity to others. I further acknowledge that in the course of being on the Exchange premises I may have physical contact with others and that conditions on the Exchange premises may be exacerbated by volatility in trading, contract expiration or other market conditions. I assume all risk of loss, damage, or injury, personal or otherwise, caused by reason of conditions on the Exchange premises, in accordance with the terms and conditions of this membership application.

---

**Print Name**

**Signature**

***Under New York Mercantile Exchange's NYMEX and/ or COMEX Division By-Laws, an applicant for membership found to have made a false statement upon a material point in connection with this application may be expelled from membership or otherwise disciplined by the Board of Directors.***



**9. Business History:**

(a) Supply complete information with respect to all business organizations with which you have been associated or employed during the past 10 years (list most recent first):

Employer (Name, Address, Phone)	Dates	Nature of Business	Position Held	Supervisor's Name	Reason for Termination
	to				
	to				
	to				

(b) Are you currently engaged in any business other than that identified above, whether as proprietor, partner, officer, director, trustee, employee, or otherwise? Yes \_\_\_ No \_\_\_  
If yes, give name and nature of business and your connection to it: \_\_\_\_\_

**10. Residential History:** Include complete street address, city, state, zip code, and dates of residence for the past 10 years (list most recent first):

ADDRESS	FROM	TO

**11. Educational History:**

Include high school, college, etc., complete address, and dates of attendance. (List most recent first):

Name & Address of School	Course of Study	Attended Mo/Yr	Did you graduate?	List diploma or degree
		to		
		to		

**12. References:**

(a) Indicate the names of the two NYMEX/COMEX Division members who will sponsor you, the nature of your relationship with each of them, and the length of time you have known each of them.

Name	Nature	Dates
		To
		To

(b) Indicate the names of three business and/or character references, other than NYMEX/COMEX

Division members and family. Please include complete addresses and phone numbers.

Name	Address	Phone

**13. Brokerage House Accounts.**

(a) Provide a complete list of all brokerage houses with which you are carrying accounts or have carried accounts, including type of account, account number, and dates carried. If none, state none.

Name of Brokerage House	Type of Account	Account #	Dates Mo/Yr
			to
			to
			to

(b) Provide a complete list of all individuals or entities that have or will have any interest in your brokerage account(s), including names, account numbers, and nature of interest. If none, state none.

---



---

(c) Have you ever conducted business or carried brokerage or bank accounts in any individual or business name other than those specified in Items 1, 2, or 9 above? Yes  No

If yes, give name(s) and circumstances for use; if none, state none:

---



---

**14. List your individual banking connections during the past five years, including present accounts:**

Name of Bank	Branch Address	Dates Mo/Yr	Acct. #	Indicate if joint and with whom
		to		
		to		

**15. Registration History:**

- (a) Are you now, or have you ever been registered with the SFA, SEC, CFTC, or NFA (e.g. as an associated person, floor broker, floor trader, introducing broker commodity representative, registered representative, account executive, FCM, CPO, or CTA)? Yes \_\_\_ No \_\_\_

If yes, give category, sponsoring firm, registration identification number, and dates of registration.  
If registration is pending please so indicate along with category for which an application is pending.

Agency	Sponsoring Firm	Registration Category and ID#	From	To

- (b) Have you ever been denied registration, enjoined, or restrained by any court or government agency from the issuance, sale, or offer for sale of securities or commodities advice or counsel, handling or managing trading accounts, continuing any practices in any of the foregoing categories or has your registration ever been suspended or revoked? If yes, please attach explanation. Yes \_\_\_ No \_\_\_

16. Are you familiar with commodity trading practices? If yes, please explain. Yes \_\_\_ No \_\_\_

17. Have you attended and completed an ethics training course? Yes \_\_\_ No \_\_\_  
If yes, please indicate the name of the entity that provided the training, date of completion, and proof thereof. If not, please note that you may have to attend and complete an ethics training course as a condition of membership.

18. Are you presently bonded? Yes \_\_\_ No \_\_\_  
If yes, by whom? \_\_\_\_\_

- (b) Have you ever been refused a bond by a surety or indemnity company? Yes \_\_\_ No \_\_\_  
If yes, attach explanation.

- (c) Has any surety or indemnity company ever paid out any funds or cancelled your coverage as a result of your action? If yes, attach explanation. Yes \_\_\_ No \_\_\_

**19. Membership History**

- (a) Are you now or have you ever been a member of the NYMEX or COMEX? Yes \_\_\_ No \_\_\_

If yes, state membership division, type, dates, and reason for termination:

- (b) Are you now or have you ever been a member of any other commodities or securities exchange, association, or board of trade? Yes \_\_\_ No \_\_\_  
If yes, please provide details:

- (c) Do you have an application for membership pending before any other commodities or securities exchange, association, or board of trade? Yes \_\_\_ No \_\_\_  
If yes, identify exchange, association, or board of trade, and anticipated approval date.

(d) Are you now or have you ever been a member of any trade or business association? Yes \_\_\_ No \_\_\_  
If yes, please provide detailed information including dates of membership.

---

---

(e) Do you have any outstanding indebtedness to anyone in the commodities or the securities business? If yes, explain. Yes \_\_\_ No \_\_\_

**20. Disciplinary History:**

If any response to questions (a) - (l) is "yes", please attach a full explanation and all official documents.  
Have you or any business organization with which you are now or have been associated as an owner, partner, officer, or director:

(a) Ever been refused admission to, or withdrawn an application for membership in any securities or commodities exchange or any trade or business organization? Yes \_\_\_ No \_\_\_

(b) Ever been or presently are suspended, expelled, fined, censures, or otherwise disciplined, or found to have violated a by-law rule or regulation of a securities or commodities exchange, banking agency, or other financial institution or trade or business organization or entered into an offer of settlement therewith? Yes \_\_\_ No \_\_\_

(c) Ever been or presently are suspended, expelled, fined, censured, or found to have violated any federal or state securities or commodities, banking law or regulation by any state or federal government agency? Yes \_\_\_ No \_\_\_

(d) Ever been or presently are the subject of any investigation by any securities or commodities exchange or government agency? Yes \_\_\_ No \_\_\_

(e) Ever been arrested or indicted for any crime involving the purchase, sale, or delivery of any security or commodity, or arising out of conduct as a broker, dealer, fiduciary, commodity firm, investment company, investment advisor, or any crime involving violence or threats of violence against any person, dishonesty, wrongful taking of property, fraud, or conspiracy to commit any of the foregoing? Yes \_\_\_ No \_\_\_

(f) Ever been convicted of, pleaded guilty or nolo contendere to any criminal charge including a misdemeanor and/or felony? Yes \_\_\_ No \_\_\_

(g) Ever been the subject of any bankruptcy proceeding, receivership, arrangement for the benefit of creditors, a financial judgement (tax or otherwise) made restitution, or otherwise been in financial difficulties which were the subject of legal proceedings, whether voluntary or involuntary? Yes \_\_\_ No \_\_\_

(h) Ever been involved in litigation which resulted in a judgement against you which is presently unsatisfied? Yes \_\_\_ No \_\_\_

(i) Ever been involved in litigation alleging fraud, deceit, misrepresentation, breach of fiduciary duties or similar activities which resulted in a judgement against you? Yes \_\_\_ No \_\_\_

(j) Ever made application for state or federal business occupational license, certification, or a permit that was denied or withdrawn, or has such license ever been suspended or revoked, or enjoined, temporarily or otherwise? Yes \_\_\_ No \_\_\_

(k) Ever been subject to any disciplinary action or termination by an employer? Yes \_\_\_ No \_\_\_

(l) Ever discharged or permitted to resign from any employment due to a complaint or legal proceeding? Yes \_\_\_ No \_\_\_

21. At present, are there any claims against you of any nature whatsoever which are or may be the subject of litigation, arbitration, or reparation proceedings? Yes \_\_\_ No \_\_\_

**22. If elected to membership, do you intend to:**

- (a) Hold for personal use (local)
  - (b) Execute the customer business of a member firm.
  - (c) Facilitate the business of a non-member firm.
  - (d) Other
- 

If (b) or (c), fill in the following information:

(1) What is the name of the member or non-member firm?

- (2) Is the firm a  partnership or  corporation?
- (3) If a partnership, are you a  general partner  limited partner
- (4) If a corporation, are you an  special partner  employee
- (5) If a corporation, are you an  officer  employee?

(5) List the names of all the partners indicating whether general, limited, or special or the officers and directors of your firm. Attach a separate sheet if necessary.

Indicate which single category of membership you classify yourself:

- (1) Floor Trader \_\_\_\_\_
- (2) Floor Broker \_\_\_\_\_
- (3) Futures Commission Merchant \_\_\_\_\_
- (4) Trade House \_\_\_\_\_
- (5) Market Maker \_\_\_\_\_

**23. Use of Membership:**

Do you intend to execute transactions on the trading floor? If yes, check all that apply: Yes \_\_\_ No \_\_\_

- To trade for my personal account
- Fill orders for my/my employer's customers or an account which I have an interest.
- Filling proprietary orders for my employer or an account which I have an interest
- Other (Please Specify)

**24. Complete only if you responded "yes" to Item 23 above:**

(a) Indicate the clearing member firm which will act as your Primary Clearing Member.

\_\_\_\_\_

(b) Is any individual or entity guaranteeing your account to your clearing member? Yes \_\_\_ No \_\_\_  
If yes, who?

\_\_\_\_\_

(c) Is any individual or entity sharing in the profits and/ or losses of your account? Yes \_\_\_ No \_\_\_  
If yes, who?

\_\_\_\_\_

What is your relationship?

\_\_\_\_\_

**27. Personal Financial Statement:** As of \_\_\_\_\_

**Assets:** NOTE: Assets held jointly must be so noted.

Liquid Assets

Cash savings and checking accounts	
Brokerage Account (s)	
<b>Total Liquid Assets</b>	\$

Marketable Investments

(a) 1. Stocks, Bonds	
2. Government securities	
(b) Exchange memberships	
(c) Other	
<b>Total Marketable Investments</b>	\$

Non-Marketable Investments

Accounts and notes receivables	
Business and partnership interests	
Pension, profit-sharing, thrift, 401(k), IRA and Keogh accounts	
Trusts	
<b>Total Non-Marketable Investments</b>	\$

Real Estate

Purchase Price	
<b>Total Non-Marketable Investments</b>	\$

Current Liabilities (due within 1 year)

<b>Liabilities and Net Worth</b>	
Charge accounts, credit card charges	
Notes payable – banks (secured/unsecured)	
Tax liabilities	
Other (itemize) (seat loans, deficit in commodity account, etc.)	
<b>Total Current Liabilities</b>	\$

Long Term Liabilities (over 1 year)

Education loans	
Mortgage note	
Other (itemize) (seat loans, margin account loans, etc.)	
Contingent Liabilities	
<b>Total Liabilities</b>	\$

**Net Worth** (Total Assets less Total Liabilities) \$

I hereby certify that I have read and understand all of the foregoing statements, that they are made in good faith and are true and complete and that I will immediately notify in writing the Membership Committee of the New York Mercantile Exchange, Inc. and/ or the Commodity Exchange, Inc. of any changes or additions.

\_\_\_\_\_  
**Signature of Applicant** **Print Name of Applicant**

I, \_\_\_\_\_ being first duly sworn, depose and say that I am the person whose name is subscribed to the foregoing Statement in support of my application for membership in the New York Mercantile Exchange / COMEX Division; that I have read said Statement and that all of the answers and other information appearing therein and in the attachments thereto are true and complete.

Subscribed and sworn to before me \_\_\_\_\_ (Notary Public)  
 this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ Affix Seal



BROKER CODE AND REGISTRATION FORM

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

Phone Number at which you can be reached between 8:00 am and 5:00 \_\_\_\_\_

Please indicate the Exchange Division on which you are applying for membership privileges:

NYMEX

COMEX

Code letter are required for badges. A minimum of two letters and a maximum of four letters may be chosen as code letters. However, if you would like to use four characters, please be aware that they are not acceptable in the Membership Systems.

Below, are the choices I have requested for my badge symbol.

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

6. \_\_\_\_\_

**Unfortunately, your first or second choice cannot always be accommodated, based on symbols already in use by NYMEX and COMEX Division members:**

If you are currently a member of another exchange, and have an existing code, please indicate the code letters, numbers and color(s): \_\_\_\_\_

Please return this form when submitting your application.