



EDX Markets Membership Application

Introduction

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

Chief Compliance Officer
 EDX Markets LLC
 101 Hudson Street
 21st Floor
 Jersey City, NJ
 07302

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 stability for membership.

Rulebook

All members are bound by the rules of EDX Markets and must ensure compliance with these rules. Exchange rules and membership obligations can be found here:

Member Agreements

Details of EDX Markets trading services can be found on the website. All members of the Exchange are bound by the terms of the membership agreement.

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

APPLICATION CHECKLIST	
<input type="checkbox"/>	Membership Application
<input type="checkbox"/>	Clearing Letter of Guarantee
<input type="checkbox"/>	User Agreement
<input type="checkbox"/>	Most recent audited annual financial statements, including Independent Auditors’ Report on Internal Control or Exemption Report
<input type="checkbox"/>	Organizational Documents: Articles of Incorporation and Bylaws (for corporations); Partnership Agreement (for partnerships); Certificate of Formation and Limited Liability Company Agreement or Operating Agreement (for limited liability companies); or similar documentation



<input type="checkbox"/>	IRS Form W-9 or W-8
<input type="checkbox"/>	A list of all Authorized Traders the Applicant will be registering with the Exchange

All application materials sent to the Exchange 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.

The Exchange may request applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process, pursuant to Exchange Rule 2.6. 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 the Exchange's website at www.edxmarkets.com for additional information regarding the membership process.



EDX Markets Membership Application

Members are required to provide EDX Markets 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.

GENERAL INFORMATION

Name of Applicant:

Address of Principal Office:

City:	State:	Zip:
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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

Corporation
 Limited Liability Company
 Partnership
 Sole Proprietorship

State of Organization: _____ Federal Employer ID Number (EIN): _____

TYPE OF BUSINESS ACTIVITIES CONDUCTED BY APPLICANT (check all that apply)

Market Maker*
 Public Customer Business
 Clearing Services
 Firm Proprietary Trading
 Other:

Can you briefly describe the nature of the business, product and customer base?

What are the source of your funds? _____

Do you have your own digital assets platform? _____

List all federal or state licenses, charters or similar held by the Applicant: _____



*Please contact Membership Services for more information on becoming a Market Maker on the Exchange.

LOCATION OF ACCOUNTS

Location of custody accounts: _____

Location of bank accounts: _____

LICENSING (check all that apply)

- | | |
|--|---|
| <input type="checkbox"/> FinCEN MSB | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Other (include supplementary information): |
| <input type="checkbox"/> NY - BitLicense | |
| <input type="checkbox"/> State Trust Charter | |
| <input type="checkbox"/> Federal Bank | |
| <input type="checkbox"/> State Money Service Transmitter Licenses (list all States where a license has been obtained): | |
| <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Name of Applicant's Designated Examining Authority (DEA): | |

ADDITIONAL INFORMATION

State approximate dates of last 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 or SRO: _____

Name of Other Regulator: _____

If any material deficiencies were revealed, please explain:

Does Applicant carry a Fidelity or Surety Bond or similar insurance? Yes No

If yes, please provide the following:

Name of insurance carrier: _____

Amount of coverage: _____ Effective date of the bond: _____



AML COMPLIANCE OFFICER		
<p>Pursuant to the Exchange Rules, each Member is required to designate, and identify to the Exchange, 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 Exchange regarding any change in this designation.</p>		
Name:		Title:
Phone:		Email:

DISCIPLINARY HISTORY	
<p>Pursuant to Exchange Rules, each Member is required to disclose to the Exchange any violations of provisions of the Rules or any applicable agreement with the Exchange, or engaged in a violation of law that might materially impact the operation of the Exchange, or other members. Any such violations must be disclosed to the Exchange as soon as practicable.</p>	
Has the applicant been convicted of any criminal offence?	
Has the applicant been the subject of an adverse finding by, or settlement with, any government agency, court, exchange or regulatory body?	
Has the applicant ever gone into insolvency, bankruptcy, liquidation or administration or equivalent proceedings?	
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?	
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? • Had any such authorization, membership or license revoked or terminated? • Or been disqualified from acting as a director? 	

[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 Exchange Rules, the policies, interpretations and guidelines of the Exchange and all orders and decisions of the Exchange'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 Exchange.
- (3) The Exchange and its officers, employees and members of its Board of Directors and of any Exchange committee 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 the Exchange 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, Exchange LLC Agreement, Exchange Rules, policies, interpretations or guidelines of the Exchange or any penalty imposed by the Exchange, its Board of Directors or any duly authorized committee;
- (4) In cases where the Applicant fails to prevail in a lawsuit or administrative adjudicative proceeding instituted by the Applicant against the Exchange or any of its officers, directors, committee members, employees or agents, and the cause of action is deemed to be frivolous by the adjudicator (e.g., through a court order or administrative adjudicative determination finding the cause of action frivolous), to pay the Exchange or any of its officers, directors, committee members, employees or agents, all reasonable expenses, including attorneys' fees, incurred by the Exchange in the defense of such proceeding, but only in the event that such expenses exceed Fifty Thousand Dollars (\$50,000.00), provided that such payment obligation shall not apply to internal disciplinary actions by the Exchange or administrative appeals
- (5) To maintain and make available to the Exchange, its authorized employees and its Board of Directors or committee members such books and records as may be required to be maintained by the Exchange Rules; and
- (6) To provide such other reasonable information with respect to the Applicant as the Exchange 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 the Exchange.

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

Date

Printed Name

Title



Disclaimer

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Contact Details

Membership Team || EDX Markets LLC

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