

BATS EXCHANGE, INC.

MEMBERSHIP APPLICATION AND AGREEMENTS

In order to join BATS Exchange, Inc., an applicant Broker-Dealer (“Applicant”) must complete and submit all materials listed on the Application Checklist below, along with appropriate fees to:

BATS Exchange, Inc.
Attn: Membership Services
4151 N. Mulberry Drive, Suite 275
Kansas City, Missouri 64116

APPLICATION CHECKLIST
<input type="checkbox"/> Membership Application, including Statutory Disqualification Notice (pages 2-5)
<input type="checkbox"/> Clearing Letter of Guarantee (only if you are not self-clearing) (page 6)
<input type="checkbox"/> User Agreement (pages 7-11)
<input type="checkbox"/> Routing Agreement (pages 12-14)
<input type="checkbox"/> Most recent signed and notarized Form BD, including schedules & disclosure reporting pages
<input type="checkbox"/> A Form U-4 for each officer, director and equity holder who owns 5% or more of Applicant’s outstanding equity interests, if not available on WebCRD®.
<input type="checkbox"/> FOCUS Reports since last annual audit
<input type="checkbox"/> Most recent audited annual financial statements, if applicable, and unaudited financial statements as of the last month-end
<input type="checkbox"/> Organizational Documents: Articles of Incorporation and Bylaws; Partnership Agreement; Limited Liability Company Agreement or Operating Agreement; or similar documentation
<input type="checkbox"/> Letter in good standing from the Applicant’s Designated Examining Authority (DEA)
<input type="checkbox"/> Applicable fees (for a list of fees, please review the “Schedule of Fees and Charges” found at [web link])

Note: All application materials sent to BATS Exchange, Inc. (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 other self-regulatory organizations (*e.g.*, FINRA), 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 subscriberservices@batstrading.com or 816-285-9902. In addition, please refer to the Exchange’s website at [www.batstrading.applications.com] for additional information regarding the Membership process.