



NYSE IM-20-13
NYSE American IM-20-06
NYSE Arca IM-20-06
NYSE Chicago IM-20-06
NYSE National IM-20-06

August 24, 2020

TO: ALL MEMBER FIRMS AND MEMBER APPLICANT FIRMS OF NEW YORK STOCK EXCHANGE LLC, NYSE AMERICAN LLC, NYSE ARCA, INC., NYSE CHICAGO, INC. AND NYSE NATIONAL, INC. (COLLECTIVELY, “NYSE” OR THE “EXCHANGES”)

FROM: CLIENT RELATIONSHIP SERVICES

SUBJECT: INTRODUCTION OF A NEW MEMBERSHIP APPLICATION FOR ALL NYSE APPLICANT FIRMS AND AN UPDATED PROCESS FOR DUAL MEMBERS OF NYSE AND FINRA FILING A CONTINUING MEMBER APPLICATION (“CMA”)

I. Background

NYSE has introduced a new Application for Membership that allows prospective Applicant Firms to apply to any or all of our Exchanges using one form. This same form should also be completed for existing Member Firms seeking to add a new type of business to any NYSE Exchange of which they are currently a Member.

II. What’s Changing?

Membership Applications across all NYSE Exchanges have been condensed into one Application for Membership. This allows for one all-inclusive review per Application received.

Dual NYSE and FINRA Members, who are required to submit a CMA as part of any material change to a Member’s business, must also complete the Application for Membership with the NYSE, following the guidelines and checklists within.

III. Membership Information and Documents

Membership Information including the most recent Applications and Forms can always be found on each market’s Membership webpage.

- NYSE: <https://www.nyse.com/markets/nyse/membership>
- NYSE American Equities: <https://www.nyse.com/markets/nyse-american/membership>
- NYSE Chicago: <https://www.nyse.com/markets/nyse-chicago/membership>
- NYSE National: <https://www.nyse.com/markets/nyse-national/membership>
- NYSE Arca Options: <https://www.nyse.com/markets/arca-options/membership>
- NYSE American Options: <https://www.nyse.com/markets/american-options/membership>
- NYSE Arca Equities: <https://www.nyse.com/markets/nyse-arca/membership>



IV. Staff Contacts

Questions related to this Memo may be addressed to Client Relationship Services at crs@nyse.com