

# STEPOUT SERVICE GEMS USER REQUEST AND COMODO CERTIFICATE AUTHORIZATION

## NYSE Steput Service (SOS) GEMS Authorization for Equities

NYSE agrees to provide access to its Global Execution Management System ("GEMS") to the company set forth below ("Company"). Company acknowledges and agrees that (1) the individuals listed below may access and use GEMS SOS on behalf of the Company (each a "GEMS User"); (2) the company must immediately notify NYSE if a GEMS User has left the Company or is no longer authorized to use SOS GEMS and (3) that Company is responsible for any acts of such NYSE GEMS User access until notice has been provided to NYSE. Notifications should be sent via email to [brokerservices@nyse.com](mailto:brokerservices@nyse.com).

### General Information

Firm Name: \_\_\_\_\_  
Business Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Business Phone: \_\_\_\_\_ Clearing #: \_\_\_\_\_

### GEMS User

First/Last Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
 GEMS SOS User (Read/Modify) \_\_\_\_\_

### GEMS User

First/Last Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
 GEMS SOS User (Read/Modify) \_\_\_\_\_

\*If additional users are required, please attach multiple copies of this form.

### COMODO Certification

COMODO Certifications are assigned on a User Level (name and e-mail).

Do the users listed above currently have access to GEMS?

Yes

No: \_\_\_\_\_

### Authorization and Acceptance

By (Signature) \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email Address: \_\_\_\_\_  
Date: \_\_\_\_\_

Completed GEMS SOS User Request and Authorization forms should be returned via email to [brokerservices@nyx.com](mailto:brokerservices@nyx.com).

Questions can be directed to Broker Services at (212) 656-2005.