

United States Securities and Exchange Commission
Washington, DC 20549

Form 1 Application for, and Amendments to Application for, Registration as a National Securities Exchange or Exemption from Registration, and Supplemental Materials and Reports

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise comply with the provisions of law applying to the conduct of the exchange would violate the Federal securities laws and may result in disciplinary, administrative, or criminal action.

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.

{Name of entity} is making this filing pursuant to the following Rule: (select one)

- ☐ Rule 6a-1 Application
 - ☐ Initial (select type of application)
 - ☐ National Securities Exchange
 - ☐ Exemption from registration based on limited volume
 - ☐ Rule 6a-1(b),(c) or (d) Amendment to Application – Amendment #####
 - ☐ Consent to Extension of Time
 - Date Extension Expires: mm/dd/yyyy
 - ☐ Withdrawal of Application
- ☐ Rule 6a-2(a) Amendment to Registration
 - ☐ Effective date of action taken: mm/dd/yyyy
- ☐ Rule 6a-2(b) Annual Filing
- ☐ Rule 6a-2(c) Triennial Filing for Year: YYYY
- ☐ Rule 6a-3(a) Supplemental Materials
- ☐ Rule 6a-3(b) Report of securities sold during calendar month

Section I: – Entity Contact Information

☐ Check Box if there is a change in information previously filed.

1. Primary Street Address (Do not use a P.O. Box)

Street: _____

City _____, State _____ Zip Code _____

2. Mailing Address: ☐ Same as above

Street: _____

City _____, State _____ Zip Code _____

3. Business Telephone () ____ - _____

4. Facsimile () ____ - _____

5. Fiscal Year End: mm/dd

6. Legal Status (select one)

- ☐ Sole Proprietorship
- ☐ Corporation
- ☐ Partnership
- ☐ Limited Liability Company
- ☐ Other (Specify): _____

If other than a sole proprietor, please provide the following:

- a) Date exchange obtained legal status (e.g. date of incorporation): mm/dd/yyyy
- b) State/Country of formation: {pick list}
- c) Statute under which exchange was organized: _____

Section II: – Name and address of Counsel for (Entity Name)

Name of Firm:

First Name:

Last Name:

Title:

Street: _____

City _____, State _____ Zip Code _____

Email:

Section III – Rule 6a-3(a) (select one)

- ☐ Provide all supplemental materials required under Rule 6a-3(a)(1) (including notices, circulars, bulletins, lists and periodicals) issued or made generally available to members of, or participants or subscribers to, the exchange. Such material shall be filed with the Commission within 10 days after issuing or making such material available to members, participants or subscribers.
- ☐ In lieu of filing the supplemental material required under Rule 6a-3(a)(1) the {entity} certifies that such information is available continuously at the internet website indicated below and is free and accessible (without any encumbrances or restrictions) by the general

public, and further certifies that the site is controlled by the exchange and the information is accurate as of the date of this filing.

Please enter URL(s): _____

Section IV – Rule 6a-3(b)

Rule 6a-3(b) requires that within 15 days after the end of each calendar month, a national securities exchange or an exchange exempted from such registration based on limited volume, shall file a report concerning the securities sold on such exchange during the calendar month.

The report shall set forth:

- (1) The number of shares of stock sold and the aggregate dollar amount of such stock sold;
- (2) The principal amount of bonds sold and the aggregate dollar amount of such bonds sold; and
- (3) The number of rights and warrants sold and the aggregate dollar amount of such rights and warrants sold.

Report of securities sold during calendar month ended mm/dd/yyyy

Section V – Exhibits

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
Exhibit A: A copy of the constitution, articles of incorporation or association with all subsequent amendments, and of existing by-laws or corresponding rules or instruments, whatever the name, of the exchange.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone #	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and the information is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
	Price of Publication \$ ____ Date of Publication: mm/dd/yyyy	public upon request.	
Exhibit B: A copy of all written rulings, settled practices having the effect of rules, and interpretations of the Governing Board or other committee of the exchange in respect of any provisions of the constitution, by-laws, rules, or trading practices of the exchange which are not included in Exhibit A.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$ ____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and the information is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):
Exhibit C: For each subsidiary or affiliate of the exchange, and for any entity with whom the exchange has a contractual or other agreement relating to the operation of an	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and the information is accurate as of the date of

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
<p>electronic trading system to be used to effect transactions on the exchange (“System”), provide the following information:</p> <ol style="list-style-type: none"> 1. Name and address of organization. 2. Form of organization (e.g., association, corporation, partnership, etc.). 3. Name of state and statute citation under which organized. Date of incorporation in present form. 4. Brief description of nature and extent of affiliation. 5. Brief description of business or functions. Description should include responsibilities with respect to operation of the System and/or execution, reporting, clearance, or settlement of transactions in connection with operation of the System. 6. A copy of the constitution. 7. A copy of the articles of incorporation or 	<p>publication date:</p> <p>Name of Publication:</p> <p>Name</p> <p>Address</p> <p>Telephone #</p> <p>Price of Publication \$ ____</p> <p>Date of Publication: mm/dd/yyyy</p>	<p>exhibit is kept up to date and is available to the Commission and the public upon request.</p>	<p>this filing and is free and accessible (without any encumbrances or restrictions) by the general public</p> <p>URL(s):</p>

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
<p>association including all amendments.</p> <p>8. A copy of existing by-laws or corresponding rules or instruments.</p> <p>9. The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions.</p> <p>10. An indication of whether such business or organization ceased to be associated with the exchange during the previous year, and a brief statement of the reasons for termination of the association.</p>			
<p>Exhibit D:</p> <p>For each subsidiary or affiliate of the exchange, provide unconsolidated financial statements for the latest fiscal year. Such financial statements shall consist, at a minimum, of a balance sheet and an income statement with such footnotes and other</p>	Not Applicable	Not Applicable	Not Applicable

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
disclosures as are necessary to avoid rendering the financial statements misleading. If any affiliate or subsidiary is required by another Commission rule to submit annual financial statements, a statement to that effect, with a citation to the other Commission rule, may be provided in lieu of the financial statements required here.			
Exhibit E: Describe the manner of operation of the System. This description should include the following: <ol style="list-style-type: none"> 1. The means of access to the System. 2. Procedures governing the entry and display of quotations and orders in the System. 3. Procedures governing the execution, reporting, clearance and settlement of transactions in connection with the System. 	Not Applicable	Not Applicable	Not Applicable

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
4. Proposed fees. 5. Procedures for ensuring compliance with System usage guidelines. 6. The hours of operation of the System, and the date on which exchange intends to commence operation of the System. 7. Attach a copy of the users' manual. 8. If exchange proposes to hold funds or securities on a regular basis, describe the controls that will be implemented to ensure safety of those funds or securities.			
Exhibit F: A complete set of all forms pertaining to: <ol style="list-style-type: none"> 1. Application for membership, participation, or subscription to the entity. 2. Application for approval as a person associated with a member, participant, or 	Not Applicable	Not Applicable	Not Applicable

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
<p>subscriber of the entity.</p> <p>3. Any other similar materials.</p>			
<p>Exhibit G:</p> <p>A complete set of all forms of financial statements, reports, or questionnaires required of members, participants, subscribers, or any other users relating to financial responsibility or minimum capital requirements for such members, participants, or any other users. Provide a table of contents listing the forms included in this Exhibit G.</p>	Not Applicable	Not Applicable	Not Applicable
<p>Exhibit H:</p> <p>A complete set of documents comprising the exchange's listing applications, including any agreements required to be executed in connection with listing and a schedule of listing fees. If the exchange does not list securities, provide a brief description of the criteria used to determine what</p>	Not Applicable	Not Applicable	Not Applicable

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
securities may be traded on the exchange. Provide a table of contents listing the forms included in this Exhibit H.			
Exhibit I: For the latest fiscal year of the exchange, audited financial statements which are prepared in accordance with, or in the case of a foreign exchange, reconciled with, United States generally accepted accounting principles, and are covered by a report prepared by an independent public accountant. If an exchange has no consolidated subsidiaries, it shall file audited financial statements under Exhibit I alone and need not file a separate unaudited financial statement for the exchange under Exhibit D.	Not Applicable	Not Applicable	Not Applicable
Exhibit J: A list of the officers, governors, members of all standing committees, or persons performing	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be	<input type="checkbox"/> In lieu of filing {entity} certifies that the	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below,

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
<p>similar functions, who presently hold or have held their offices or positions during the previous year, indicating the following for each:</p> <ol style="list-style-type: none"> 1. Name. 2. Title. 3. Dates of commencement and termination of term of office or position. 4. Type of business in which each is primarily engaged (e.g., floor broker, specialist, odd lot dealer, etc.). 	<p>obtained below and is accurate as of the publication date:</p> <p>Name of Publication:</p> <p>Name</p> <p>Address</p> <p>Telephone #</p> <p>Price of Publication \$ ____</p> <p>Date of Publication: mm/dd/yyyy</p>	<p>information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.</p>	<p>which is controlled by {entity}, and the information is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public</p> <p>URL(s):</p>
<p>Exhibit K:</p> <p>This Exhibit is applicable only to exchanges that have one or more owners, shareholders, or partners that are not also members of the exchange. If the exchange is a corporation, please provide a list of each shareholder that directly owns 5% or more of a class of a voting security of the exchange. If the exchange is a partnership, please provide a list of all general partners and those limited and special</p>	<p><input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date:</p> <p>Name of Publication:</p> <p>Name</p> <p>Address</p> <p>Telephone #</p>	<p><input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.</p>	<p><input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and the information is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public</p> <p>URL(s):</p>

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
<p>partners that have the right to receive upon dissolution, or have contributed, 5% or more of the partnership's capital. For each of the persons listed in the Exhibit K, please provide the following:</p> <ol style="list-style-type: none"> 1. Full legal name; 2. Title or Status; 3. Date title or status was acquired; 4. Approximate ownership interest; and 5. Whether the person has control, a term that is defined in the instructions to this Form. 	<p>Price of Publication \$ ____</p> <p>Date of Publication: mm/dd/yyyy</p>		
<p>Exhibit L:</p> <p>Describe the exchange's criteria for membership in the exchange.</p> <p>Describe conditions under which members may be subject to suspension or termination with regard to the exchange.</p> <p>Describe procedures that will be involved in the suspension or termination of a member.</p>	Not Applicable	Not Applicable	Not Applicable

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
Exhibit M: Provide an alphabetical list of all members, participants, subscribers or other users, including the following information: <ol style="list-style-type: none"> 1. Name; 2. Date of election to membership or acceptance as a participant, subscriber or other user; 3. Principal business address and telephone number; 4. If member, participant, subscriber or other user is an individual, the name of the entity with which such individual is associated and the relationship of such individual to the entity (e.g. partner, officer, director, employee, etc.); 5. Describe the type of activities primarily engaged in by the member, participant, subscriber, or other user (e.g. floor 	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$ ____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and the information is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
<p>broker, specialist, odd lot dealer, other market maker, proprietary trader, non-broker dealer, inactive or other functions). A person shall be “primarily engaged” in an activity or function for purposes of this item when that activity or function is the one in which that person is engaged for the majority of their time. When more than one type of person at an entity engages in any of the six types of activities or functions enumerated in this item, identify each type (<u>e.g.</u> proprietary, trader, Registered Competitive Trader and Registered Competitive Market Maker) and state the number of members, participants, subscribers, or other users in each; and</p> <p>6. The class of membership, participation or</p>			

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
subscription or other access.			
Exhibit N: Provide a schedule for each of the following: <ol style="list-style-type: none"> The securities listed in the exchange, indicating for each the name of the issuer and a description of the security; The securities admitted to unlisted trading privileges, indicating for each the name of the issuer and a description of the security; The unregistered securities admitted to trading on the exchange which are exempt from registration under Section 12(a) of the Act. For each security listed, provide the name of the issuer and a description of the security, and the statutory exemption claimed (e.g. Rule 12a-6); and 	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$ ____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and the information is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits K, M, N) and Triennial (Exhibits A, B, C, J) Filings		
	Rule 6a-2(d)(1) – Available by publication	Rule 6a-2(d)(2) – Available upon request	Rule 6a-2(d)(3) – Available via internet website
4. Other securities traded on the exchange, including for each the name of the issuer and a description of the security.			

Section VI – Contact Employee Information

Provide the following information of the person at {entity name} prepared to respond to questions for this submission:

First Name:

Last Name:

Title:

Email:

Telephone:

Section VII – Consent to Service and Attestation

■ By checking this box, {Name of Entity} consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the exchange's activities may be given to the contact employee by registered or certified mail at the main address, or mailing address if different, given in Section I above; and represents that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

Form 1 General Instructions

A. Use of the Form

Form 1 is the form used by: (a) an applicant for registration as a national securities exchange under Section 6 of the Securities Exchange Act of 1934 ("Exchange Act") or for an exemption from registration pursuant to Section 5 of the Exchange Act by reason of the limited volume of transactions effected on such exchange ("applicant") to provide to the Securities and Exchange Commission ("SEC" or "Commission") specific items of information about the applicant and its operations, or to amend such application, as required under Rule 6a-1; and (b) a national securities exchange ("registered exchange") or an exchange exempted from such registration by

reason of the limited volume of transactions effected on such exchange (“exempt exchange”) uses to provide the information required by Rule 6a-2 and Rule 6a-3.

Filings on Form 1 submitted pursuant to Rule 6a-1, Rule 6a-2 or Rule 6a-3 of the Exchange Act shall be filed in an electronic format on the Commission’s Electronic Data Gathering, Analysis, and Retrieval system (EDGAR) in accordance with EDGAR rules set forth in Regulation S-T (17 CFR Part 232). All pages of an electronically filed Form 1, including exhibits, shall be numbered consecutively, consistent with Rule 0-3 under the Exchange Act (17 CFR 240.0-3). For assistance with EDGAR issues, please consult the EDGAR—Information for Filers webpage on SEC.gov.

The disclosure required to be included in the following exhibits to Form 1 must be provided as an Interactive Data File in accordance with Rule 405 of Regulation S-T. This requirement does not extend to copies of existing documents:

- (1) Exhibit D;
- (2) Exhibit E, except for the copy of the users’ manual; and
- (3) Exhibit I.

B. Need for Careful Preparation of the Completed Form, Including Exhibits

Applicants and registered and exempt exchanges must provide all the information required by the form, including the exhibits, and must present the information in a clear and comprehensible manner. A filing that is incomplete or similarly deficient may be returned to the applicant or registered or exempt exchange. Any filing so returned shall for all purposes be deemed not to have been filed with the Commission. See also Rule 0-3 under the Exchange Act (17 CFR 240.0-3). If any exhibit required is inapplicable, a statement to that effect shall be furnished in lieu of such exhibit.

C. When to Use the Form 1

Form 1 is composed of 6 types of submissions to the Commission pursuant to Rules 6a-1, 6a-2 and 6a-3 under the Exchange Act. In completing Form 1, an applicant or exchange shall select the type of filing and provide all information required by the relevant rules. The types of submissions are:

- (1) “Rule 6a-1 Application” submissions are applications for registration as a national securities exchange or for exemption from such registration based on limited volume. The applicant must select the type of application during the initial filing. An exchange that is filing Form 1 as an application may not satisfy the requirements to provide certain information by means of an internet website. All materials must be filed with the Commission as part of the Form 1 application. Amendments to applications as required by Rules 6a-1(b), (c) or (d) must be filed as amending the Rule 6a-1 application type, and marked to number the amendments consecutively. An applicant may withdraw a Rule 6a-1 application submission type prior to Commission action to issue any order granting registration, or institute proceedings to determine whether registration should be denied.
- (2) “Rule 6a-2(a) Amendment to Registration” submissions are for amendments to the Form 1 by registered exchanges and exempt exchanges. The amendments shall set forth the

nature and effective date of the action taken and shall provide any new information and correct any information rendered inaccurate within 10 days after any action that is taken renders inaccurate, or that causes to be incomplete, any of the following:

- i) Information in Section I-Entity Contact Information, or any amendments thereto; or
 - ii) Information filed as part of Exhibits C, F, G, H, J, K or M, or any amendments thereto.
- (3) “Rule 6a-2(b) Annual Filing” submission shall be filed on or before June 30 of each year and include the following:
- i) Exhibits D and I as of the end of the latest fiscal year of the exchange; and
 - ii) Exhibits K, M, and N, which shall be up to date as of the latest date practicable within three (3) months of the date the amendment is filed.
- (4) “Rule 6a-2(c) Triennial Filing” submission shall be filed on or before June 30, 2025, and every three years thereafter and shall include complete Exhibits A, B, C and J. The information filed under this submission type shall, at a minimum, be up to date within three (3) months as of the date the amendment is filed.
- (5) “Rule 6a-3(a) Supplemental Material” submission shall be filed with the Commission within 10 days after issuing or making any materials (including notices, circulars, bulletins, lists and periodicals) issued or made generally available to members of, or participants or subscribers to, the exchange.
- (6) “Rule 6a-3(b) Report of securities sold” submission type shall be filed within 15 days after the end of each calendar month and shall include a report concerning the securities sold on such exchange during the calendar month. The report shall set forth:
- i) The number of shares of stock sold and the aggregate dollar amount of such stock sold;
 - ii) The principal amount of bonds sold and the aggregate dollar amount of such bonds sold; and
 - iii) The number of rights and warrants sold and the aggregate dollar amount of such rights and warrants sold.

D. Documents Comprising the Completed Form

The completed form filed with the Commission shall consist of Form 1, responses to all applicable items, and any exhibits required in connection with the filing.

E. Contact Information and Filing of Completed Form

Each time an applicant or exchange submits a filing to the Commission on Form 1, the applicant or exchange must provide the contact information required by Section II of Form 1. The contact employee must be authorized to receive all contact information, communications and mailings and must be responsible for disseminating that information within the applicant or exchange’s organization.

For assistance with EDGAR issues, please consult the EDGAR—Information for Filers webpage on SEC.gov.

F. Recordkeeping

A copy of this Form 1 must be retained by the exchange and made available for inspection upon request of the SEC.

G. Paperwork Reduction Act Disclosure

Form 1 requires an applicant seeking to register as a national securities exchange or seeking an exemption from registration as a national securities exchange pursuant to Section 5 of the Exchange Act to provide the SEC with certain information regarding the operation of the exchange. Form 1 also requires national securities exchanges or exchanges exempt from registration based on limited volume to update certain information on a periodic basis and to provide supplemental material as required.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number. Sections 3(a)(1), 5, 6(a) and 23(a) authorize the Commission to collect information on this Form 1 from exchanges. See 15 U.S.C. §§78c(a)(1), 78e, 78f(a) and 78w(a).

Any member of the public may direct to the Commission any comments concerning the accuracy of the burden estimate on the facing page of Form 1 and any suggestions for reducing this burden.

Form 1 is designed to enable the Commission to determine whether an exchange applying for registration is in compliance with the provisions of Sections 6 and 19 of the Exchange Act. Form 1 is also designed to enable the Commission to determine whether a national securities exchange or exchange exempt from registration based on limited volume is operating in compliance with the Exchange Act.

It is estimated that an exchange will spend approximately 891 hours completing the initial application on Form 1 pursuant to Rule 6a-1. It is also estimated that each exchange will spend approximately 26 hours to prepare each amendment to Form 1 pursuant to Rule 6a-2. It is also estimated that each exchange will spend approximately 0.5 hours to prepare each submission pursuant to Rule 6a-3.

It is mandatory that an exchange seeking to operate as a national securities exchange or as an exchange exempt from registration based on limited volume file Form 1 with the Commission. It is also mandatory that national securities exchanges or exchanges exempt from registration based on limited volume file amendments to Form 1 under Rule 6a-2. It is further mandatory that national securities exchanges or exchanges exempt from registration based on limited volume file supplemental information and monthly reports under Rule 6a-3.

No assurance of confidentiality is given by the Commission with respect to the responses made in Form 1. The public has access to the information contained in Form 1.

This collection of information has been reviewed by the Office of Management and Budget ("OMB") in accordance with the clearance requirements of 44 U.S.C. §3507. The Commission

has determined that the information collection does not constitute a system of record for purposes of the Privacy Act.

H. Explanation of Terms

AFFILIATE - Any person that, directly or indirectly, controls, is under common control with, or is controlled by, the national securities exchange or exchange exempt from registration based on the limited volume of transactions effected on such exchange, including any employees.

CONTROL - The power, directly or indirectly, to direct the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any person that (i) is a director, general partner or officer exercising executive responsibility (or having similar status or functions); (ii) directly or indirectly has the right to vote 25% or more of a class of voting securities or has the power to sell or direct the sale of 25% or more of a class of voting securities; or (iii) in the case of a partnership, has the right to receive, upon dissolution, or has contributed, 25% or more of the capital, is presumed to control that entity.

DIRECT OWNERS - Any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of a voting security of the applicant. For purposes of this Form 1, a person beneficially owns any securities (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant or right to purchase the security.

MEMBER - Shall have the same meaning as under Exchange Act Section 3(a)(3).

NATIONAL SECURITIES EXCHANGE - Shall mean any exchange registered pursuant to Section 6 of the Exchange Act.

PERSON ASSOCIATED WITH A MEMBER - Shall have the same meaning as under Section 3(a)(21) of the Exchange Act.