

BRIGHT TRADING, LLC

A PROFESSIONAL EQUITIES TRADING ORGANIZATION

Instructions for Completing Form U-4. Please follow these instructions carefully to ensure that your form U-4 is processed as quickly as possible. Forms that are incomplete or filled out incorrectly may delay the registration process. **Be sure to attach a check for \$500 made out to the *Chicago Stock Exchange* to cover the registration fee. Please note that the CHX will not process trader registrations without the registration fee.**

Page 1: Trader must fill in the following information:

- Item #1—Name: Last, First, Middle
- Item #2—Social Security number **only**
- Item #3—Information supplied
- Item #4—Information supplied
- Item #5—Please fill in the date (mm/dd/yy) that you will begin trading with Bright Trading, LLC
- Item #6—**Leave blank**
- Item #7—**Leave blank**
- Item #8—Office of Employment Address—This represents the address of the office in which you will be trading.
- Item #8a—**Leave blank**
- Item #9a & 9b—Please be sure to answer both parts of the item. Please be aware that Bright Trading and whoever else they might be affiliated with must approve any dual registration. If your answer is "yes" to either 9a or 9b, please contact the Office Manager immediately.
- Item #10—**Mark off "no", Bright does not maintain any affiliated firms.**
- Item #11—Check the "TR" (Securities Trader) box under the CHX column (second to last column on left hand side—"TR" is fourth category from the top).
- Item #12—**Leave blank**
- Item #13—**Leave blank**
- Item #13a—If you have taken any of the exams indicated in item 13, please list the exam type and the date taken. If you have not taken any NASD exams, please write "no exams"
- Signature Area—**Do not sign in this box UNLESS this form U-4 is being submitted as an amendment to an existing form U-4.**

Page 2: Trader must fill in the following information:

- Item #14—Social Security number **only**
- Item #15-#18—Please supply your personal data as outlined in these items
- Item #19—Residential History—**Starting with your current address, please give all address for the past 5 years. Use the attachment sheet if additional space required. There should be no gaps in your residential history.**

4850 HARRISON DRIVE • LAS VEGAS, NV • 89121

PHONE: 702-739-1393 - FAX: 702-739-1398 - INTERNET: [HTTP://WWW.STOCKTRADING.COM](http://www.stocktrading.com)

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- Item #20—Employment History—**You must provide a COMPLETE employment history for the past 10 years starting with the most recent. The first entry should be for Bright Trading, LLC (month & year of starting date, "Bright Trading, LLC" under "Name", check "Yes" box for "Investment Related Business", fill in city of office in which you will be trading, fill in "Professional Trader" under "Position Held"). The following entries should account for a full 10 years including full and part-time employment, self-employment, military service and homemaking. Include statuses such as unemployed, full-time education or travel that lasted for more than one month. You MUST go back a full 10 years (i.e. if you begin trading in 10/99 you must provide an employment history that dates back to at least 10/89). There should be NO gaps in your employment history. Incomplete information WILL delay the registration process. Use attachment sheet if additional space is required.**
- Item #21—Check "Yes" or "No". If answer is yes, please use attachment sheet to provide the required details.
- Signature Area—**Do not sign in this box UNLESS this form U-4 is being submitted as an amendment to an existing form U-4.**

Page 3: Trader must fill in the following information:

- Item #22—Social Security number **only**
- Item #23A-#23M—**All** items must be answered. If you have any "Yes" answers you must fill out the appropriate Disclosure Reporting page(s). Please note that an individual will automatically be disqualified from registration with the CHX if individual has had a felony conviction in the past 10 years
- Item #23N—**Leave blank**
- Signature Area—**Do not sign in this box UNLESS this form U-4 is being submitted as an amendment to an existing form U-4.**

Page 4: Trader must fill two copies of page 4 with the following information (NOTE: traders in CO, MA, MD, MO, NE, NV, TX, TN and UT must complete three copies of page 4):

- Item #24—Social Security number **only**
- Trader must read, date, sign and print name

Page 5: Trader must fill in the following information:

- Item #25—Social Security number **only**
- **NOTE: Trader should not sign in the bottom box as this is for the firm to complete ("The Firm Must Complete the Following")!**

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Attachment Sheet: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** additional space is required to answer item #19, #20 and #21.

Criminal Disclosure Reporting Page: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to item #23A and #23B on page 3.

Regulatory Action Disclosure Reporting page (2 pages): Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to items #23C, #23D, #23E, #23F and #23G(1) on page 3.

Investigation Disclosure Reporting Page: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to item #23G(2)

Civil Judicial Action Disclosure Reporting Page (2 pages): Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to item #23H.

Customer Complaint Disclosure Reporting page (2 pages): Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to item #23I.

Termination Disclosure Reporting Page: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to item #23J.

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Bankruptcy/SIPC/Compromise with Creditors Disclosure Reporting Page: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to items #23K(1), #23K(2), #23K(3).

Bond Disclosure Reporting Page: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to items #23L.

Judgement/Lien Disclosure Reporting Page: Trader must fill in the following information:

- Name: Last, First, Middle, Social Security number
- Trader **must** provide the information listed above. Leave the rest of the page blank **unless** you had an affirmative response to items #23M.