



**ICE CLEAR U.S., INC.**

**Clearing Membership  
Application**

**April 2024**

Intercontinental Exchange  
ICE Clear U.S.

[www.ice.com](http://www.ice.com)

Enclosed is an application form which must be completed by firms seeking to become Clearing Members of ICE Clear U.S., Inc. The applicant must also be a member firm of ICE Futures U.S., Inc. in order to clear the contracts that are traded on that exchange. All Clearing Members must meet ICE Clear U.S., Inc.'s operational criteria and requirements with respect to the contracts sought to be cleared. The following is a list of documents that must be furnished by applicants for Clearing Membership. *An original plus one copy of all documents and agreements should be sent to the attention of:*

President  
ICE Clear U.S., Inc.  
55 East 52nd Street, 40<sup>th</sup> Floor  
New York, NY 10055  
(212) 748-4001

Upon receipt of an application, ICE Clear U.S., Inc. will submit an invoice for the application fee of \$1500.

A. Form to be Completed:

1. Application for Clearing Membership

B. Documents to be provided:

1. Certificate of Incorporation, By laws, and all amendments thereto (if applicant is a corporation), certified by the secretary of the corporation.
2. Partnership Agreement and all amendments thereto (if applicant is a partnership), certified by a general partner of the partnership.
3. Articles of Organization and Operating Agreement and all amendments thereto (if applicant is a limited liability company), certified by a member of the limited liability company.
4. Most recent audited financial statement and three most recent Form 1-FR or FOCUS certified by the Chief Financial Officer.

**ICE Clear U.S., Inc.  
Application for Membership**

Name of Applicant: \_\_\_\_\_

Taxpayer ID: \_\_\_\_\_

Clearing Number being requested:

We hereby apply to ICE Clear U.S., Inc. for Clearing Membership with respect to contracts traded on ICE Futures U.S. In connection with this application, we hereby furnish the following information:

1. State of Incorporation: \_\_\_\_\_  
(Attach certified copy of certificate of incorporation, partnership agreement, articles of organization, or other charter documents including all amendments.)
2. Office maintained pursuant to ICE Clear U.S., Inc. Rule 202(f).
  - a) Address
  
  - b) Telephone number
  
  - c) Names and titles of officers, general partners, members, etc. located at office authorized to act pursuant to ICE Clear U.S. Rule 202(b).

3. Persons managing, controlling, and owning applicant

a) Management

Function	Name and Title	Business Address
Chief Executive Officer		
Chief Operating Officer		
Officer in charge of Futures unit		
Chief Financial Officer		
Officer, General Partner, Member, etc. responsible for supervision pursuant to ICUS Rule 202(f)		
Secretary		

b) Control

- i. The names of each person who is a member of the Board of Directors or other governing body of the applicant:

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- ii. The name of such governing body is:

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c) Ownership

- i. The name and address of each person who, by reason of share ownership or partnership or membership control, whether direct or indirect, or beneficial or of record, or pursuant to any agreement or understanding or other arrangement or relationship, (i) has contributed or has an interest in 10% or more of our equity, or (ii) has an interest in 10% or more of our income, or (iii) holds 10% or more of our voting power, is as follows:

Name \_\_\_\_\_ Percent

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- ii. The names of each other clearing organization of which the applicant is a member or to which the applicant has applied for membership (specify whether applicant is a member or applicant in each case) are as follows:

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- iii. The officer, member, manager, or partner to act as the principal contact for the applicant and to whom notices from the Corporation should be addressed is:

Name: \_

Title: \_

Address:

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Telephone:

Email:

4. We [are/are not] a party to an agreement or understanding, written or oral, which if consummated would result in a change in any information furnished in item 3 above.

Are

Are Not

5. If the answer to item 4 is in the affirmative and we have not previously advised you thereof, a description of such agreement or understanding is attached hereto:

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6. We [are/are not] registered with the Commodity Futures Trading Commission. If yes, please specify the categories in which registered.

Are    Are Not

Section Two: Required ICE Futures U.S. Information

1. Indicate applicant's fiscal year end: \_\_\_\_\_

Has there been a significant change in the financial condition of the applicant since the latest audited financial statement? \_\_\_\_\_. If yes, supply an explanation of such change.

2. List average number of contracts cleared each month during the preceding 12 month period.

Clearing Organization	Position Type Customer/House	Avg. # of Contracts Cleared Daily	Avg. Monthly Total of Cleared Trades

3. List the number of trader memberships guaranteed on other exchanges:

Exchange	Account Type Customer/House	Floor Traders	Floor Brokers

4. The standard position limit granted clearing member applicants is:

Customer Segregated	150% of ANC (Adjusted Net Capital)
Proprietary	75% of ANC
Total	200% of ANC

Please indicate whether applicant is requesting standard position limits or other (if other, indicate percentages being requested).

5. State the estimated percentage of total business the applicant intends to clear in the following categories:

Customer Segregated \_\_\_\_\_ %  
 Proprietary \_\_\_\_\_ %

We recognize our responsibility to immediately notify you of any changes in the information contained herein and otherwise as specified in the Rules and By laws of ICE Clear U.S..

We hereby certify to you that the information furnished herein is complete and correct.

Name of Applicant: \_\_\_\_\_

By: \_\_\_\_\_

Title