



**MEMBER TO MEMBER ARBITRATION
UNDER THE RULES OF NYMEX/COMEX**

When you (the “Claimant”) complete and submit this consent form you have agreed to have your dispute with a NYMEX/COMEX member, an introducing broker guaranteed by a NYMEX/COMEX member, or an employee thereof (the “Respondent”) resolved through arbitration at NYMEX/COMEX. A claimant must have an ownership interest in the account involved in the dispute. You understand and agree that you are bound by the decision of the arbitrators. Therefore, before you complete the form you should carefully read the rules in Chapter 6 of NYMEX/COMEX Rulebook governing such arbitration proceedings. Among other things, this form will ask you to identify yourself and the person(s) or firm(s) against which you are claiming, to clearly describe the cause and the amount of the damages claimed, and to choose an arbitration panel. Entries on the form must be typed or printed legibly. You should attach supplemental sheets if the space provided is not sufficient. The completed form, along with the appropriate filing and hearing fees must be submitted to CME Group’s Market Regulation Department. Failure to provide either the requested information or the appropriate fees may delay the processing or may result in dismissal of the claim.

Section I: The Claimant(s)

Your Name(s): _____

Mailing Address: _____

Daytime Phone: _____

Email : _____

Your Trading Account (if applicable):

Firm Name: _____ Account No. _____

Your Affiliations (if applicable):

Clearing Firm: _____ Broker Association _____

Employer: _____

Your Membership (note membership Type, and whether owned, leased, or held pursuant to NYMEX/COMEX Rules): _____

If you will be represented by an attorney or other representative, please complete the following:

Representative's Name: _____

Firm: _____

Business Address: _____

Business Telephone: _____

Which of the following describes the attorney or representative? (Check only one)

____ Attorney: Bar No. _____

____ Non-Attorney

State(s) Admitted to Practice:

Relationship:

____ Officer or Partner

____ Family Member, or

____ Other (specify)

Section II: The Respondent(s)

Please list the full name(s) of the individual member, member firm, introducing broker guaranteed by a member firm, or employee thereof, with whom you have the dispute. If you cannot determine the name of a respondent - for example, the broker who made the disputed trade for your order - that respondent should be identified at least by title or function, e.g. "unknown broker who executed the order in dispute." If you wish to file a claim against a firm as well as its employee or broker, you must list the firm as a separate respondent.

1. _____
(Respondent)

1. _____
(Respondent's Employer, if known)

2. _____
(Respondent)

2. _____
(Respondent's Employer, if known)

3. _____
(Respondent)

3. _____
(Respondent's Employer, if known)

2. What is the dollar amount of your claim against each respondent?

3. Explain below, in detail, how you calculated the dollar amount of your claim (your claim will not be processed without an explanation):

Section IV: The Arbitrators

Pursuant to Chapter 6 of CBOT’s Rulebook, an arbitration between members shall be heard by a Panel of the Exchange’s Arbitration Committee, consisting of 5 individuals who are members of a Division of the Exchange and one chairman.

Section V: Procedures

The Respondent may file against you a counterclaim arising out of the act or transaction that is the basis of your claim. In deciding your claim and any such related counterclaim, the arbitrators may order you to pay an award to the Respondent.

Arbitration proceedings are conducted in accordance with the rules in Chapter 6 of NYMEX/COMEX's Rulebook. Each party has the right to be represented by an attorney or other representative in any aspect of the proceeding, and each party is responsible for the presentation of relevant facts in support of his/her claim, counterclaim, defense, or rebuttal. The arbitrators' decision is final, the only right of appeal being as provided under applicable law.

Section VI: Costs

NYMEX/COMEX charges a filing fee and a hearing fee, both based on the amount being claimed, exclusive of interest and costs. Filing fees are non-refundable. Hearing fees will be refunded if the case is settled or withdrawn at least ten days before either the first oral hearing date or the date scheduled for consideration of the pleadings and other information.

There may also be other costs associated with the proceeding such as travel, attorneys' fees, transcription service, copying, and witness transportation, which are the responsibility of the party (that is, the Claimant or Respondent) who incurs them. However, if the arbitrators find that a party has engaged in bad faith conduct, or where a statutory or contractual basis exists for awarding such fees, the arbitrators may order a party to pay some or all of the costs

incurred by the other party(ies). Requests for attorneys' fees and costs incurred in the arbitration proceeding must be raised in the proceeding or they are waived. The filing and hearing fees are set forth below:

<u>Amount of claim</u>	<u>Filing fee</u>	<u>Hearing fee</u>	<u>Total due</u>
\$0.00 - \$10,000.00	\$ 250.00	\$ 50.00	\$ 300.00
\$10,000.01 - \$25,000.00	\$ 500.00	\$ 150.00	\$ 650.00
\$25,000.01 - \$75,000.00	\$ 750.00	\$ 500.00	\$ 1,250.00
More than \$75,000.00	\$ 1,000.00	\$ 1,000.00	\$ 2,000.00

Both fees are due at the time a claim is submitted, made payable to CME Group, payable by personal check, money order, wire transfer or cashier's check. International claimants should note that payments must be in U.S. Dollars.

The completed Consent to Arbitration form, all supporting documents, and the appropriate fees should be forwarded to:

NYMEX/COMEX World Headquarters
300 Vesey Street
New York, NY 10282