

Cboe Futures Exchange, LLC

Organization Trading Privilege Holder Application (Foreign)

In order to become a Trading Privilege Holder (“TPH”) of Cboe Futures Exchange, LLC (“CFE”) an applicant (“Applicant”) must complete and submit all materials listed on the Application Checklist below via email to MembershipServices@cboe.com.

Applicants are required to answer **every** question and provide the requested information in each field. Applicants may answer not applicable (“N/A”) where appropriate. For all areas requesting a CRD # or NFA #, applicants are required to provide an ID number or mark N/A. Applicants are required to update any information submitted in this application when and if it becomes inaccurate or incomplete while this application is pending. All documents must be in English.

APPLICATION CHECKLIST

Items required for application approval:

- Organization TPH Application
- Organizational chart for organization ownership question (page 4), if applicable
- Information Cover Sheet and Individual Disciplinary Information for Criminal and Regulatory Disclosures (pages 9-12) for each Executive Officer and Account Administrator
- Organizational Documents: Certificate of Incorporation and Bylaws; Partnership Agreement and Registration Certificate; Limited Liability Company Operating Agreement and Registration Certificate or equivalent documentation
- Confirmation of OCC approval – *applicable to clearing members*
- Supplemental Application Form, if applicable
Approved Foreign Jurisdictions are available [here](#). Supplemental Application Forms are available [here](#).
- Pooled Investment Vehicle Appendix to Organization Trading Privilege Holder Application, if applicable
- Investment Management Agreement between Pool(s) and Pool Manager(s) (or equivalent document) and ownership/organizational chart for Pool(s) and Pool Manager(s), if applicable
- Application fee

Please refer to ‘Application Fees’ section of the [CFE Fee Schedule](#) for current pricing information. Applicant is responsible for all wire transfer fees assessed by Applicant’s bank. All application fees are non-refundable.

Items required to become effective:

- Clearing Member Give-Up Authorization and Guarantee – *applicable to non-clearing members*
- Clearing Member Guarantee – *applicable to clearing members*
- Confirmation of OCC activation – *applicable to clearing members*
- TPH Activation / Termination Form

Note: All application materials sent to CFE will be reviewed for completeness.

CFE may request applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process. If you have questions on completing the application, you may direct them to Membership Services at MembershipServices@cboe.com or 913.815.7002. In addition, please refer to CFE’s website at www.cboe.com/us/futures/ for additional information regarding the approval process.

Cboe Futures Exchange, LLC
Organization Trading Privilege Holder Application (Foreign)

GENERAL INFORMATION			
Name of Applicant:			
Foreign ID #:	CRD #:	NFA #:	
Address of Principal Office:			
Address of Billing Office:			
BUSINESS CONTACT		BILLING CONTACT	
Name:		Name:	
Title:		Title:	
CRD #:	NFA #:	CRD #:	NFA #:
Email:		Email:	
Phone:		Phone:	
COMPLIANCE CONTACT		REGULATORY CONTACT	
Name:		Name:	
Title:		Title:	
CRD #:	NFA #:	CRD #:	NFA #:
Email:		Email:	
Phone:		Phone:	
TRADING CONTACT		TECHNICAL CONTACT	
Name:		Name:	
Title:		Title:	
CRD #:	NFA #:	CRD #:	NFA #:
Email:		Email:	
Phone:		Phone:	
TYPE OF ORGANIZATION			
<input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Other – Specify: _____			
Organized under the laws of: _____			
TYPE OF BUSINESS ACTIVITIES CONDUCTED BY APPLICANT (check all that apply)			
Will the Applicant execute transactions on CFE for its own account? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, mark Proprietary Trading Firm below.			
Will the Applicant execute transactions on CFE as agent for one or more non-affiliated Person(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, mark Brokerage Firm below.			
<input type="checkbox"/> Proprietary Trading Firm <input type="checkbox"/> Brokerage Firm <input type="checkbox"/> Clearing Firm <input type="checkbox"/> Pool Manager*			
<i>*An entity that acts as an operator, investment manager, investment advisor or in any other similar managerial or advisory capacity to, and/or that otherwise exercises discretionary authority on behalf of a Pool should complete this application. Each Pool should complete the Pooled</i>			

Investment Vehicle Appendix to Organization Trading Privilege Holder Application ("Pool Appendix"). If a Pool has more than one Pool Manager, each Pool Manager should complete this application. If a Pool Manager has already been approved, each new Pool should complete the Pool Appendix and the Pool Manager does not need to complete this application.

NATIONAL SECURITIES EXCHANGE OR ASSOCIATION (check all that apply)

- | | | |
|------------------------------------------------------------------|------------------------------------------------------------------|------------------------------------------------------|
| <input type="checkbox"/> BOX Exchange LLC | <input type="checkbox"/> Long-Term Stock Exchange, Inc. | <input type="checkbox"/> Nasdaq PHLX LLC |
| <input type="checkbox"/> Cboe BYX Exchange, Inc. | <input type="checkbox"/> MEMX, LLC | <input type="checkbox"/> The Nasdaq Stock Market |
| <input type="checkbox"/> Cboe BZX Exchange, Inc. | <input type="checkbox"/> Miami International Securities Exchange | <input type="checkbox"/> New York Stock Exchange LLC |
| <input type="checkbox"/> Cboe C2 Exchange, Inc. | <input type="checkbox"/> MIAX Emerald, LLC | <input type="checkbox"/> NYSE Arca, Inc. |
| <input type="checkbox"/> Cboe EDGA Exchange, Inc. | <input type="checkbox"/> MIAX PEARL, LLC | <input type="checkbox"/> NYSE Chicago, Inc. |
| <input type="checkbox"/> Cboe EDGX Exchange, Inc. | <input type="checkbox"/> Nasdaq BX, Inc. | <input type="checkbox"/> NYSE MKT LLC |
| <input type="checkbox"/> Cboe Exchange, Inc. | <input type="checkbox"/> Nasdaq GEMX, LLC | <input type="checkbox"/> NYSE National, Inc. |
| <input type="checkbox"/> Financial Industry Regulatory Authority | <input type="checkbox"/> Nasdaq ISE, LLC | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Investors Exchange LLC | <input type="checkbox"/> Nasdaq MRX, LLC | |

FUTURES EXCHANGE OR ASSOCIATION (check all that apply)

- | | | |
|------------------------------------------------------------|-----------------------------------------------------------|--------------------------------------------------------------------|
| <input type="checkbox"/> Bitnomial Exchange, LLC | <input type="checkbox"/> ICE Futures US, Inc. | <input type="checkbox"/> New York Mercantile Exchange, Inc. |
| <input type="checkbox"/> Cantor Futures Exchange, LP | <input type="checkbox"/> Kalshi | <input type="checkbox"/> Nodal Exchange, LLC |
| <input type="checkbox"/> Chicago Board of Trade | <input type="checkbox"/> LedgerX LLC | <input type="checkbox"/> North American Derivatives Exchange, Inc. |
| <input type="checkbox"/> Chicago Mercantile Exchange, Inc. | <input type="checkbox"/> LMX Labs, LLC | <input type="checkbox"/> Small Exchange, Inc. |
| <input type="checkbox"/> Commodity Exchange, Inc. | <input type="checkbox"/> Minneapolis Grain Exchange, Inc. | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Eris Exchange, LLC | <input type="checkbox"/> National Futures Association | |

NFA REGISTRATIONS

- | | | | |
|-----------------------------|----------------------------------|-----------------------------------|------------------------------|
| Futures Commission Merchant | <input type="checkbox"/> Pending | <input type="checkbox"/> Approved | <input type="checkbox"/> N/A |
| Introducing Broker | <input type="checkbox"/> Pending | <input type="checkbox"/> Approved | <input type="checkbox"/> N/A |
| Commodity Pool Operator | <input type="checkbox"/> Pending | <input type="checkbox"/> Approved | <input type="checkbox"/> N/A |
| Commodity Trading Advisor | <input type="checkbox"/> Pending | <input type="checkbox"/> Approved | <input type="checkbox"/> N/A |

OTHER DOMESTIC OR FOREIGN REGISTRATIONS OR LISTINGS

For each registration or listing, please provide the regulatory agency or body, registration capacity and registration number (attach an additional sheet if more space is needed):

DESIGNATED SELF-REGULATORY ORGANIZATION

Does the Applicant have a Designated Self-Regulatory Organization (DSRO)? Yes No

If yes, identify the organization: _____

DESIGNATED CLEARING FIRM

Identify the CFE Clearing Firm issuing the guarantee for the Applicant's activity on CFE:

Name: _____ OCC #: _____

ADDITIONAL QUESTIONS

Will the Applicant have customers located in the United States? Yes No

Does the Applicant plan to connect to the CFE system, including any communications hub administered by or on behalf of the exchange, from any country other than the United States? Yes No If yes, identify the country(ies):

The country(ies) listed must be Approved Foreign Jurisdiction(s) and in some cases, additional documentation will be required. Approved Foreign Jurisdictions are available [here](#). Supplemental Application Forms are available [here](#).

If you identified any foreign country in your response above, is the Applicant availing itself of any exemption(s) from registration with a regulatory agency or body (or other basis for not having such a registration) in that country or jurisdiction?

Yes No If yes, please describe (attach an additional sheet if more space is needed):

Does any person or entity have a 10% or greater interest in the Applicant organization? Yes No

If yes, provide an organizational chart and the information below (attach an additional sheet if more space is needed):

Name:	CRD #:	NFA #:
Address:		
City:	State:	Zip:
Phone:	Percentage Ownership:	
Name of Contact Person (applicable to entities only):		

Name:	CRD #:	NFA #:
Address:		
City:	State:	Zip:
Phone:	Percentage Ownership:	
Name of Contact Person (applicable to entities only):		

Name:	CRD #:	NFA #:
Address:		
City:	State:	Zip:
Phone:	Percentage Ownership:	
Name of Contact Person (applicable to entities only):		

Name:	CRD #:	NFA #:
Address:		
City:	State:	Zip:
Phone:	Percentage Ownership:	
Name of Contact Person (applicable to entities only):		

DISCIPLINARY INFORMATION – CRIMINAL DISCLOSURES

The Applicant must answer “Yes” to the questions on this page even if:

- Adjudication of guilt was withheld or there was no conviction; or
- There was a conditional discharge or post-conviction dismissal after successful completion of a sentence; or
- A state certificate of relief from disabilities or similar document was issued relieving the holder of forfeitures, disabilities or bars resulting from a conviction; or
- The record was expunged or sealed; or
- A pardon was granted.

The Applicant may answer “No” if the case was decided in a juvenile court or under a youth offender law.

Has the Applicant ever plead guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

Yes No

Has the Applicant ever plead guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

Yes No

Is the Applicant a party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

Yes No

For any “Yes” answer to the questions above, has the Applicant previously provided CFE all supplemental documentation for all matters requiring a “Yes” answer?

Yes No

For each matter for which the Applicant has not provided all supporting documentation, provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to CFE or entered below. The explanation must include the matter name, when and where the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/charges, classification of the charges, plea and sentencing information, the final disposition, and the date of the final disposition.

In addition, the Applicant must provide copies of court documentation which show:

- the charges;
- the classification of the offense, (i.e. felony or misdemeanor);
- the plea, sentencing and probation information, as applicable; and
- the final disposition.

If the Applicant is unable to obtain the documents for the criminal matter, it must provide a letter from the court verifying the documents’ unavailability.

Explanation:

DISCIPLINARY INFORMATION – REGULATORY DISCLOSURES

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the Applicant ever been permanently or temporarily enjoined after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transaction or securities; or
- embezzlement, theft extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

Yes No

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the Applicant ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person?
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Yes No

Has the Applicant ever been debarred by any agency of the U.S. from contracting with the U.S.?

Yes No

Has the Applicant ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the Applicant's ability to engage in any business in the financial services industry?

Yes No

Are any of the orders or other agreements described in the question above currently in effect against the Applicant?

Yes No

Is the Applicant a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

Yes No

For any "Yes" answer to the questions above, has the Applicant previously provided CFE all supplemental documentation for all matters requiring a "Yes" answer?

Yes No

For each matter for which the Applicant has not provided all supporting documentation, provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to CFE or entered below. The explanation must include the matter name, when the event occurred, parties involved, circumstances, case number, allegations/charges, the final disposition, and the date of final disposition.

In addition, the Applicant must provide copies of documentation which show:

- the allegations; and
- the final disposition.

If the Applicant is unable to obtain the documents, it must provide an explanation on a separate sheet stating why documents are not obtainable.

Explanation:

EXECUTIVE OFFICERS

Please indicate below the individuals that the Applicant intends to register with the Exchange as executive officers for its futures business. Each officer must complete pages 9-12 of this application for informational purposes in connection with this application.

CHIEF EXECUTIVE OFFICER (or equivalent position)

Name:	CRD #:	NFA #:
Title (if different from Chief Executive Officer):		
Phone:	Email:	

CHIEF OPERATING OFFICER (or equivalent position)

Name:	CRD #:	NFA #:
Title (if different from Chief Operating Officer):		
Phone:	Email:	

CHIEF FINANCIAL OFFICER (or equivalent position)

Name:	CRD #:	NFA #:
Title (if different from Chief Financial Officer):		
Phone:	Email:	

CHIEF COMPLIANCE OFFICER (or equivalent position)

Name:	CRD #:	NFA #:
Title (if different from Chief Compliance Officer):		
Phone:	Email:	

ACCOUNT ADMINISTRATORS

A TPH must designate an Account Administrator who will be authorized to grant permission and user access within the Cboe Customer Web Portal. More than one Account Administrator may be designated and there is not a maximum number of Account Administrators allowed per TPH. Account Administrations will be able to grant access to tools within the Customer Web Portal including, but not limited to trade data downloads; order lookup; historical market data subscription; latency statistics; logical port request, modify or delete form; physical connection request form; invoices and billing files. Each initial Account Administrator must complete pages 9-12 of this application for informational purposes in connection with this application.

Name:	CRD #:	NFA #:
Title:		
Phone:	Email:	

Name:	CRD #:	NFA #:
Title:		
Phone:	Email:	

Name:	CRD #:	NFA #:
Title:		
Phone:	Email:	

By executing this Application, the undersigned agrees on behalf of the organization and its related parties as follows:

To abide by the rules of Cboe Futures Exchange, LLC (“CFE”) as they shall be in effect from time to time.

The organization authorizes any governmental agency, futures exchange, securities exchange, national securities association, registered futures association or other entity to furnish to CFE, upon its request, any information they may have concerning the organization and the organization hereby releases each such entity from any and all liability of whatsoever nature by reason of furnishing such information to CFE.

The organization authorizes CFE to make available to any governmental agency, futures exchange, securities exchange, national securities association, registered futures association or other entity (upon such entity’s showing of proper authority and need) any information CFE may have concerning the organization and the organization hereby releases CFE from any and all liability of whatsoever nature by reason of furnishing such information.

The organization recognizes that the statements in the application materials furnished to CFE may be verified by investigation and hereby declares that they are true, complete and accurate.

Applicant organization acknowledges its obligation to update any and all information contained in any part of this application while the application is pending.

Signature of Authorized Officer, Partner or Managing Member

Date

Printed Name

Title

Cboe Futures Exchange, LLC Foreign Information Cover Sheet

Each Executive Officer and Account Administrator identified in this Cboe Futures Exchange, LLC (“CFE”) Organization Trading Privilege Holder application must complete this Cover Sheet and the following Criminal Disclosure and Regulatory Disclosure reporting pages.

GENERAL INFORMATION	
Organization Name:	
Individual Name (first, middle and last):	
Title:	
CRD #:	NFA #:

I hereby declare that the information included in the responses to the attached questions is true, complete and accurate.

Signature

Date

Cboe Futures Exchange, LLC

Individual Disciplinary Information – Criminal Disclosures

You must answer “Yes” to the questions on this page even if:

- Adjudication of guilt was withheld or there was no conviction; or
- There was a conditional discharge or post-conviction dismissal after successful completion of a sentence; or
- A state certificate of relief from disabilities or similar document was issued relieving the holder of forfeitures, disabilities or bars resulting from a conviction; or
- The record was expunged or sealed; or
- A pardon was granted.

You may answer “No” if the case was decided in a juvenile court or under a youth offender law.

Have you personally or has any entity of which you were a Principal at the time the activities occurred ever pled guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

Yes No

Have you personally or has any entity of which you were a Principal at the time the activities occurred ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

Yes No

Are you personally or is any entity of which you were a Principal at the time the activities occurred a party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

Yes No

For any “Yes” answer to the questions above, have you previously provided CFE all supporting documentation for all matters requiring a “Yes” answer?

Yes No

For each matter for which the individual has not provided all supporting documentation, provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to CFE or entered below. The explanation must include who was involved; when it occurred; what the allegations were; what the final determination was, if any; and the date of the determination.

In addition, the individual must provide documents which show:

- the charges;
- the classification of the offense, (i.e. felony or misdemeanor);
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

Explanation:

Cboe Futures Exchange, LLC

Individual Disciplinary Information – Regulatory Disclosures

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), have you personally or has any entity of which you were a Principal at the time the activities occurred ever been permanently or temporarily enjoined after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transaction or securities; or
- embezzlement, theft extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

Yes No

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC) have you personally or has any entity of which you were a Principal at the time the activities occurred ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Yes No

Have you personally or has any entity of which you were a Principal at the time of the activities occurred ever been debarred by any agency of the U.S. from contracting with the U.S.?

Yes No

Have you personally or has any entity of which you were a Principal at the time the activities occurred ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted your ability to engage in any business in the financial services industry?

Yes No

Are any of the orders or other agreements described in the question above currently in effect against you personally?

Yes No

Are you personally or is any entity of which you were a Principal at the time the activities occurred a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

Yes No

For any "Yes" answer to the questions above, have you previously provided CFE all supplemental documentation for all matters requiring a "Yes" answer?

Yes No

For each matter for which the individual has not provided all supporting documentation, provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to CFE or entered below. The explanation must include who was involved; when it occurred; what the allegations were; what the final determination was, if any; the date of the determination and a summary of the circumstances surrounding the regulatory matter.

In addition, the individual must provide documents which show:

- the allegations; and
- the final disposition.

Explanation:

Cboe Futures Exchange, LLC

Resources and Contact Information

CFE Fee Schedule: available [here](#)

CFE Rule Book: available [here](#)

CFE Technical Specifications: available [here](#)

TPHs should ensure that their orders and block trade and ECRP transaction submissions are marked with the correct CTI code both in order to receive the correct transaction fee rate and because it is a regulatory requirement to include the correct CTI code. The table below lists the available CTI codes and provides the corresponding definition for each. For questions relating to CTI codes, please contact CFE Regulatory Interpretations at 312.786.7229 or CFERegInterps@cboe.com.

CTI Code	Definition of Code
CTI 1	Transactions initiated and executed by an individual TPH for the TPH's own account, for an account the TPH controls, or for the account in which the TPH has an ownership or financial interest.
CTI 2	Transactions executed for the proprietary account of a clearing member or non-clearing member TPH.
CTI 3	Transactions where an individual TPH or authorized trader executes for the personal account of another individual TPH, for an account the other individual TPH controls or for an account in which the other individual TPH has an ownership or financial interest.
CTI 4	Any transaction not meeting the definition of CTI 1, 2 or 3. (These should be non-TPH customer transactions).

Membership Services

913.815.7002

MembershipServices@cboe.com

CFE Trade Desk

312.786.8700

CFETradeDesk@cboe.com

Network

913.815.7005

NOC@cboe.com

Market Data Services

212.378.8821

MarketData@cboe.com