

Cboe Exchange, Inc.

Trading Permit Holder Organization Application for an Order Service Firm

Any currently approved Trading Permit Holder (“TPH”) Organization of Cboe Exchange, Inc. (“Cboe Options”) is eligible to conduct business as an order service firm that Cboe Options specifically approves the TPH to conduct business as an order service firm. To qualify, a TPH Organization must complete and submit all materials listed on the Application Checklist below via email to MembershipServices@cboe.com.

Applicants are required to update any information submitted in this application when and if it becomes inaccurate or incomplete while this application is pending.

APPLICATION CHECKLIST

Items required from all applicants:

- TPH Organization Application to Conduct Business for an Order Service Firm
- Copy of the most recent net capital computation, *if applicable*
- Balance sheet
- Income statement
- Copy of the most recent annual audited report, *if applicable*
- Description of the Organization’s Brokers’ Blanket Bond arrangement, *if applicable*
- Description of how and where stock orders or futures orders are routed for execution
- Description of the mechanism in place to prevent errors
- Copy of Organization’s written procedures for liquidation of errors
- Copies of the most recent monthly error account and proprietary account statements
- Application fee
Please refer to ‘Application-Related Fees’ section of the [Cboe Fee Schedule](#) for current pricing information. Application fees will be billed electronically through the firms OCC account and are non-refundable.

Item required to become effective:

- Order Service Firm Letter of Guarantee

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

Cboe Options 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 312.786.7449. In addition, please refer to Cboe Options’ website at <http://markets.cboe.com> for additional information regarding the approval process.

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GENERAL INFORMATION

Name of TPH Organization:		
Tax ID #:	CRD #:	SEC #: 8-
Address of Principal Office:		
City:	State:	Zip:

TYPE OF ORGANIZATION

Corporation
 Limited Liability Company
 Partnership
 Other – Specify: _____

NATIONAL SECURITIES EXCHANGE OR ASSOCIATION (check all that apply)

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

CLEARING CORPORATION and/or DEPOSITORY

If applicable, list the clearing corporation(s) and/or depository(ies) in which the TPH Organization is either a current or pending participant.

Clearing Corporation:	Depository:
Clearing Corporation:	Depository:

DESIGNATED CONTACTS

Name the executive officer, LLC manager or general partner who is/will be responsible for preparation of the financial statement.

Name:	CRD #:
Title:	
Phone:	Email:

Name the executive officer, LLC manager or general partner who is/will be responsible for risk and/or error control.

Name:	CRD #:
Title:	
Phone:	Email:

List the firm(s) and contact person(s) with which the TPH Organization maintains its error account(s).

Firm Name:	
Contact Person:	
Phone:	Email:
Firm Name:	
Contact Person:	
Phone:	Email:

The undersigned recognizes that the statements herein (and in every supplementary sheet attached hereto) will be verified by investigation and hereby declares that they are true, complete and accurate.

Signature of Authorized Officer, Partner Or Managing Member
of Applicant

Date

Printed Name

Title

Cboe Exchange, Inc.
Order Service Firm Letter of Guarantee

This agreement is made between the undersigned Trading Permit Holder Organization (“Order Service Firm”) and Clearing Trading Permit Holder (“Clearing TPH”) as of:

Effective Date

WHEREAS, Order Service Firm is a TPH Organization of the Cboe Exchange, Inc. (“Cboe Options”) and is registered with Cboe Options for the purpose of taking orders for the purchase and sale of securities or commodity futures contracts (and options thereon) from other Exchange Trading Permit Holders on the floor of the Cboe Options; and

WHEREAS, Clearing Trading Permit Holder is a clearing member of The Options Clearing Corporation,

NOW, THEREFORE, in consideration of the premises and agreements hereinafter set forth, the parties agree for their own benefit and for the benefit of the Exchange and its Trading Permit Holders as follows:

1. Clearing Trading Permit Holder accepts financial responsibility for all orders handled by the Order Service Firm on the floor of Cboe Options and for all financial obligations of the Order Service Firm to the Exchange.

2. This guarantee shall remain in full force and effect until a written notice of revocation has been filed with the Membership Services Department. If such written notice is not filed with the Membership Services Department at least one hour prior to the opening of trading on a particular trading day, such revocation shall not become effective until the close of trading on such day. Upon the request of the Clearing Trading Permit Holder that files the written notice of revocation, the Exchange shall post notice of the revocation. Revocation of this guarantee shall not relieve Clearing Trading Permit Holder of responsibility for the liabilities guaranteed prior to the effective day of such revocation.

Trading Permit Holder Organization:

Clearing Trading Permit Holder:

TPH Organization Name

Clearing TPH Name

Signature of Authorized Officer, Partner or Managing
Member of TPH

Signature of Authorized Officer, Partner or Managing
Member of Clearing TPH

Printed Name

Printed Name

Title

Title

Date

Date