

Cboe Exchange, Inc.

Trading Permit Holder Organization Application to Transact Business with the Public

Any currently approved Trading Permit Holder (“TPH”) Organization of Cboe Exchange, Inc. (“Cboe Options”) is eligible to transact business with the public provided that Cboe Options specifically approves the TPH to transact business with the public. 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 Transact Business with the Public
- List of registered options principals and registered representatives qualified for options trading, include individuals CRD #
- Copy of Organization’s options written supervisory procedures
- Copy of the most recent net capital computation
- Balance sheet
- Income statement
- Copy of the most recent annual audited report, *if applicable*
- Description of the Organization’s Brokers’ Blanket Bond arrangement
- 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.

Additional Items required for an Introducing Firm and/or a Clearing Participant:

- List of branch office locations and branch office managers
- Copy of the method utilized for the allocation of exercise notices as sent to customers if not included in the customer options agreement
- Blank copies of:
 - Customer information form
 - Options agreement
 - Discretionary trading authorization
 - New account form
 - Fully disclosed and/or omnibus trading agreements
 - Transaction confirmation and account statement
 - Special risk disclosure document for uncovered options

Additional Items required for a Firm conducting an execution business of orders received directly from non-broker-dealers:

- Copy of execution/clearing agreement with customer and Clearing TPH that customer account clears with
- Copy of Organization’s order entry procedures

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’s website at <http://markets.cboe.com> for additional information regarding the approval process.

Cboe Exchange, Inc.

Trading Permit Holder Organization Application to Transact Business with the Public

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

APPLICATION TYPE
Applying as:
<input type="checkbox"/> Introducing Firm and/or Clearing TPH
<input type="checkbox"/> Firm conducting an executing business of orders received directly from non-broker-dealers

TYPE OF ORGANIZATION
<input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Other – Specify: _____

NATIONAL SECURITIES EXCHANGE OR ASSOCIATION (check all that apply)	
<input type="checkbox"/> BOX Exchange LLC	<input type="checkbox"/> MIAX PEARL, LLC
<input type="checkbox"/> Cboe BYX Exchange, Inc.	<input type="checkbox"/> Nasdaq BX, Inc.
<input type="checkbox"/> Cboe BZX Exchange, Inc.	<input type="checkbox"/> Nasdaq GEMX, LLC
<input type="checkbox"/> Cboe C2 Exchange, Inc.	<input type="checkbox"/> Nasdaq ISE, LLC
<input type="checkbox"/> Cboe EDGA Exchange, Inc.	<input type="checkbox"/> Nasdaq MRX, LLC
<input type="checkbox"/> Cboe EDGX Exchange, Inc.	<input type="checkbox"/> Nasdaq PHLX, LLC
<input type="checkbox"/> Cboe Exchange, Inc.	<input type="checkbox"/> The Nasdaq Stock Market
<input type="checkbox"/> Financial Industry Regulatory Authority	<input type="checkbox"/> New York Stock Exchange, LLC
<input type="checkbox"/> The Investors Exchange LLC	<input type="checkbox"/> NYSE Arca, Inc.
<input type="checkbox"/> Long-Term Stock Exchange, Inc.	<input type="checkbox"/> NYSE Chicago, Inc.
<input type="checkbox"/> Miami International Securities Exchange	<input type="checkbox"/> NYSE MKT LLC
<input type="checkbox"/> MIAX Emerald, LLC	<input type="checkbox"/> NYSE National, Inc.
	<input type="checkbox"/> Other _____

Name of Applicant's Designated Examining Authority (DEA):

FINANCIAL AND OPERATIONS PRINCIPAL (FINOP)	
Name:	CRD #:
Title:	
Phone:	Email:

CERTIFIED PUBLIC ACCOUNTANT		
Name of Organization's Certified Public Accountant:		
Address:		
City:	State:	Zip Code:

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