

## Cboe C2 Exchange, Inc.

### Trading Permit Holder Organization Application to Transact Business with the Public

Any currently approved Trading Permit Holder (“TPH”) Organization of Cboe C2 Exchange, Inc. (“C2 Options”) is eligible to transact business with the public provided that C2 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](mailto: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 #, 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.

#### APPLICATION CHECKLIST

##### Items required for all applicants:

- Trading Permit Holder Organization Application to Transact Business with the Public
- List of registered options principals and registered representatives qualified for options trading
- 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

##### Additional items required for an Introducing Firm and/or 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 an applicant conducting an execution business of orders received directly from non-broker-dealers:

- Copy of execution/clearing agreement with customer and clearing participant that customer account clears with
- Order entry procedures

Note: All application materials sent to C2 Options will be reviewed for completeness.

C2 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](mailto:MembershipServices@cboe.com) or 913.815.7002.

## Cboe C2 Exchange, Inc.

### Trading Permit Holder Organization Application to Transact Business with the Public

GENERAL INFORMATION					
Name of Permit Holder 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 Participant					
<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: _____					
Organized under the laws of: _____					
OTHER SELF-REGULATORY ORGANIZATION MEMBERSHIPS (check all that apply)					
<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top;"> <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"/> Investors Exchange LLC                             </td> <td style="width: 33%; vertical-align: top;"> <input type="checkbox"/> Long-Term Stock Exchange, Inc.  <input type="checkbox"/> MEMX, LLC  <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                             </td> <td style="width: 33%; vertical-align: top;"> <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.                             </td> </tr> </table>			<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"/> Investors Exchange LLC	<input type="checkbox"/> Long-Term Stock Exchange, Inc. <input type="checkbox"/> MEMX, LLC <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.
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Name of Applicant's Designated Examining Authority (DEA): _____					

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

OPTIONS PRINCIPALS	
State the name, title and contact information of the person(s) engaged in the management of the Organization's business pertaining to options and who must therefore qualify with C2 Options as a registered Options Principal. The Organization's Financial and Operations Principal (FINOP) must be included below.	
Name:	CRD #:
Title:	
Phone:	Email:

Name:	CRD #:
Title:	
Phone:	Email:

Name:	CRD #:
Title:	
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