

Name of TPH Organization \_\_\_\_\_

Broker/Dealer #: 8 - \_\_\_\_\_ CRD#: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Financial and Operations Principal (FINOP): Name \_\_\_\_\_

Phone # \_\_\_\_\_ Fax # \_\_\_\_\_ CRD # \_\_\_\_\_

Title \_\_\_\_\_ E-Mail \_\_\_\_\_

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.

Name of Authorized Signatory of TPH Organization \_\_\_\_\_

(Signature of Authorized Signatory of TPH Organization)

Title \_\_\_\_\_ Date \_\_\_\_\_

**Please submit the following information to Cboe Regulatory Services**

**For introducing firms and/or clearing trading permit holders:**

1. List of registered options principals and registered representatives qualified for options trading.
2. List of branch office locations and branch office managers.
3. A copy of the method utilized for the allocation of exercise notices as sent to customers (if not included in the customer options agreement).
4. Blank copies of:
  - Customer information form
  - Option 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
5. Copy of firm's options written supervisory procedures
6. A copy of the most recent net capital computation
7. Balance sheet
8. Income statement
9. A copy of the most recent audit report (if applicable).
10. Description of its Brokers' Blanket Bond arrangement

Indicate other exchange memberships currently held \_\_\_\_\_

**For firms only conducting an execution business of orders received directly from non-broker/dealers:**

1. List of registered options principals and registered representatives qualified for options trading.
2. Copy of execution/clearing agreement with customer and clearing TPH that customer account clears with.
3. Copy of firm's options written supervisory and order entry procedures.
4. A copy of the most recent net capital computation
5. Balance sheet
6. Income statement
7. A copy of the most recent audit report (if applicable).
8. Description of its Brokers' Blanket Bond arrangement.

Indicate other exchange memberships currently held \_\_\_\_\_