Cboe Options Exchange Application for a Trading Permit Holder (TPH) Organization to Qualify to Transact Business with the Public

Name of TPH	Organization								
Applying as:	Applying as: Introducing Firm and/or Clearing TPH (See back page for required supplementary documentation Firm conducting an executing business of orders received directly from non-broker dealers (See back page for required supplementary documentation.)								
Broker/Dealer	-#: 8	CRD#:							
Main Office Ac	ldress								
City		State	Zip Code						
	☐ Corporation	□ Limited Liability Company	□ Partnership						
	-	on(s) engaged in the management of ify with the Exchange as Registered (the organization's business pertaining to Options Principals:						
Financial and	<u>Operations Principal (F</u>	INOP): Name							
Phone #		Fax #	CRD #						
Title		E-Mail							
Name of Orga	nization's Certified Pub	lic Accountant							
Address									
City		State	Zip Code						
_	_	statements herein (and in every sup declares that they are true, complete	plementary sheet attached hereto) will be and accurate.						
Name of Autho	orized Signatory of TPH	Organization							
(Signature of A	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	princip	als and	registered	representatives	gualified for o	otions tradin	σ.

- 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	
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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.

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