

## Cboe Futures Exchange, LLC

### Individual Sole Proprietor Trading Privilege Holder Application

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In order to become a Trading Privilege Holder (“TPH”) of Cboe Futures Exchange, LLC (“CFE”) an applicant (“Applicant”) 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 # or NFA #, 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 application approval:**

- ☐ Individual Sole Proprietor TPH Application
- ☐ Information Cover Sheet and Individual Disciplinary Information for Criminal and Regulatory Disclosures (pages 5-9)
- ☐ Supplemental Application Form, if applicable  
Approved Foreign Jurisdictions are available [here](#). Supplemental Application Forms are available [here](#).
- ☐ Application fee
- ☐ Investigation fee – *applicable to domestic Applicants who do not have a current association with WebCRD or the NFA*

Please refer to ‘Application Fees’ section of the [CFE Fee Schedule](#) for current pricing information. Applicant is responsible for all wire transfer fees assessed by Applicant’s bank. All application fees are non-refundable.

**Items required to become effective:**

- ☐ Clearing Member Give-Up Authorization and Guarantee
- ☐ TPH Activation / Termination Form

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

CFE 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. In addition, please refer to CFE’s website at [www.cboe.com/us/futures/](http://www.cboe.com/us/futures/) for additional information regarding the approval process.

# Cboe Futures Exchange, LLC

## Individual Sole Proprietor Trading Privilege Holder Application

GENERAL INFORMATION					
Applicant Name:	CRD #:	NFA #:			
Mailing Address:					
City:	State/Province:	Zip/Mail Code:			
Country:					
Business Phone:	Alternate Phone:				
Email*:					
<i>*Email addresses from a public domain (e.g. @gmail.com, @hotmail.com, @yahoo.com) will not be accepted.</i>					
TYPE OF BUSINESS ACTIVITIES CONDUCTED BY APPLICANT					
<input type="checkbox"/> Proprietary Trader <input type="checkbox"/> Executing Broker (Please indicate your current Floor Broker status at NFA below)					
NFA REGISTRATIONS					
Floor Broker Status: <input type="checkbox"/> Pending <input type="checkbox"/> Approved <input type="checkbox"/> N/A					
NATIONAL SECURITIES EXCHANGE OR ASSOCIATION (check all that apply)					
<table style="width: 100%; border: none;"> <tr> <td style="vertical-align: top; width: 33%;"> <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="vertical-align: top; width: 33%;"> <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               </td> <td style="vertical-align: top; width: 33%;"> <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: _____               </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. <input type="checkbox"/> Other: _____
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FUTURES EXCHANGE OR ASSOCIATION (check all that apply)					
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OTHER DOMESTIC OR FOREIGN REGISTRATIONS OR LISTINGS					
For each registration or listing, please provide the regulatory agency or body, registration capacity and registration number (attach an additional sheet if more space is needed):					
DESIGNATED SELF-REGULATORY ORGANIZATION					
Does the Applicant have a Designated Self-Regulatory Organization (DSRO)? <input type="checkbox"/> Yes <input type="checkbox"/> No					
If yes, identify the organization: _____					

### DESIGNATED CLEARING FIRM

Identify the CFE Clearing Firm issuing the guarantee for the Applicant's activity on CFE:

Name: \_\_\_\_\_ OCC #: \_\_\_\_\_

### ADDITIONAL QUESTIONS

Will the Applicant have customers located in the United States? ☐ Yes ☐ No

Does the Applicant plan to connect to the CFE system, including any communications hub administered by or on behalf of the exchange, from any country other than the United States? ☐ Yes ☐ No If yes, identify the country(ies):

The country(ies) listed must be Approved Foreign Jurisdiction(s) and in some cases, additional documentation will be required. Approved Foreign Jurisdictions are available [here](#). Supplemental Application Forms are available [here](#).

If you identified any foreign country in your response above, is the Applicant availing itself of any exemption(s) from registration with a regulatory agency or body (or other basis for not having such a registration) in that country or jurisdiction?

☐ Yes ☐ No If yes, please describe (attach an additional sheet if more space is needed):

By executing this Application, the undersigned individual hereby agrees on behalf of himself/herself and his/her related parties as follows:

To abide by the rules of Cboe Futures Exchange, LLC ("CFE") as they shall be in effect from time to time.

I authorize any governmental agency, futures exchange, securities exchange, national securities association, registered futures association and all my former employers and other persons to furnish to CFE, upon its request, any information they may have concerning my character, ability, business activities, reputation and employment history and I hereby release each such person from any and all liability of whatsoever nature by reason of furnishing such information to CFE.

I authorize CFE to make available to any governmental agency, futures exchange, securities exchange, national securities association, registered futures association or other entity (upon such entity's showing of proper authority and need) any information CFE may have concerning me and I hereby release CFE from any and all liability of whatsoever nature by reason of furnishing such information.

I recognize that the statements in the application materials furnished to CFE may be verified by investigation and hereby declare that they are true, complete and accurate.

Applicant acknowledges his/her obligation to update any and all information contained in any part of this application while the application is pending.

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Signature of Applicant

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Printed Name

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Date

## Cboe Futures Exchange, LLC Domestic Information Cover Sheet

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The Applicant must complete this Cover Sheet and the following Criminal Disclosure and Regulatory Disclosure reporting pages.

GENERAL INFORMATION	
Applicant Name:	
CRD #:	NFA #:

I recognize that the information included in the responses to the attached questions may be verified by investigation, and hereby declare that they are true, complete and accurate. I acknowledge and agree that under the Fair Credit Reporting Act CFE may procure or cause to be prepared an investigative consumer report on me, including, without limitation, information as to my character, general reputation, personal characteristics, employment, clearing firm, finances, financial litigation, mode of living and credit reports, as applicable. If an investigation is required, an investigation fee will apply. Please refer to 'Application Fees' section of the [CFE Fee Schedule](#) for current pricing information. Applicant is responsible for all wire transfer fees assessed by Applicant's bank. All application fees are non-refundable. The Federal Trade Commission's "Summary of Your Rights under the Fair Credit Reporting Act" is available [here](#).

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Signature

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Date

## Cboe Futures Exchange, LLC Foreign Information Cover Sheet

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Applicant must complete this Cover Sheet and the following Criminal Disclosure and Regulatory Disclosure reporting pages.

GENERAL INFORMATION	
Applicant Name:	
CRD #:	NFA #:

I hereby declare that the information included in the responses to the attached questions is true, complete and accurate.

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Signature

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Date

## Cboe Futures Exchange, LLC

### Individual Disciplinary Information – Criminal Disclosures

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You must answer “Yes” to the questions on this page even if:

- Adjudication of guilt was withheld or there was no conviction; or
- There was a conditional discharge or post-conviction dismissal after successful completion of a sentence; or
- A state certificate of relief from disabilities or similar document was issued relieving the holder of forfeitures, disabilities or bars resulting from a conviction; or
- The record was expunged or sealed; or
- A pardon was granted.

You may answer “No” if the case was decided in a juvenile court or under a youth offender law.

Have you personally or has any entity of which you were a Principal at the time the activities occurred ever pled guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

☐ Yes   ☐ No

Have you personally or has any entity of which you were a Principal at the time the activities occurred ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

☐ Yes   ☐ No

Are you personally or is any entity of which you were a Principal at the time the activities occurred a party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

☐ Yes   ☐ No

For any “Yes” answer to the questions above, have you previously provided CFE all supporting documentation for all matters requiring a “Yes” answer?

☐ Yes   ☐ No

For each matter for which the individual has not provided all supporting documentation, provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to CFE or entered below. The explanation must include who was involved; when it occurred; what the allegations were; what the final determination was, if any; and the date of the determination.

In addition, the individual must provide documents which show:

- the charges;
- the classification of the offense, (i.e. felony or misdemeanor);
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

Explanation:

## **Cboe Futures Exchange, LLC**

### **Individual Disciplinary Information – Regulatory Disclosures**

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In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), have you personally or has any entity of which you were a Principal at the time the activities occurred ever been permanently or temporarily enjoined after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advise concerning futures, options, leverage transaction or securities; or
- embezzlement, theft extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

☐ Yes   ☐ No

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC) have you personally or has any entity of which you were a Principal at the time the activities occurred ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

☐ Yes   ☐ No

Have you personally or has any entity of which you were a Principal at the time of the activities occurred ever been debarred by any agency of the U.S. from contracting with the U.S.?

☐ Yes   ☐ No

Have you personally or has any entity of which you were a Principal at the time the activities occurred ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted your ability to engage in any business in the financial services industry?

☐ Yes   ☐ No

Are any of the orders or other agreements described in the question above currently in effect against you personally?

☐ Yes   ☐ No

Are you personally or is any entity of which you were a Principal at the time the activities occurred a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

☐ Yes   ☐ No

For any "Yes" answer to the questions above, have you previously provided CFE all supplemental documentation for all matters requiring a "Yes" answer?

☐ Yes   ☐ No

For each matter for which the individual has not provided all supporting documentation, provide a detailed explanation of the event or conduct. The explanation must be in writing and sent to CFE or entered below. The explanation must include who was involved; when it occurred; what the allegations were; what the final determination was, if any; the date of the determination and a summary of the circumstances surrounding the regulatory matter.

In addition, the individual must provide documents which show:

- the allegations; and
- the final disposition.

Explanation:

## Cboe Futures Exchange, LLC

### Resources and Contact Information

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**CFE Fee Schedule:** available [here](#)

**CFE Rule Book:** available [here](#)

**CFE Technical Specifications:** available [here](#)

TPHs should ensure that their orders and block trade and ECRP transaction submissions are marked with the correct CTI code both in order to receive the correct transaction fee rate and because it is a regulatory requirement to include the correct CTI code. The table below lists the available CTI codes and provides the corresponding definition for each. For questions relating to CTI codes, please contact CFE Regulatory Interpretations at 312.786.7229 or [CFERegInterps@cboe.com](mailto:CFERegInterps@cboe.com).

CTI Code	Definition of Code
CTI 1	Transactions initiated and executed by an individual TPH for the TPH's own account, for an account the TPH controls, or for the account in which the TPH has an ownership or financial interest.
CTI 2	Transactions executed for the proprietary account of a clearing member or non-clearing member TPH.
CTI 3	Transactions where an individual TPH or authorized trader executes for the personal account of another individual TPH, for an account the other individual TPH controls or for an account in which the other individual TPH has an ownership or financial interest.
CTI 4	Any transaction not meeting the definition of CTI 1, 2 or 3. (These should be non-TPH customer transactions).

#### Membership Services

913.815.7002

[MembershipServices@cboe.com](mailto:MembershipServices@cboe.com)

#### CFE Trade Desk

312.786.8700

[CFETradeDesk@cboe.com](mailto:CFETradeDesk@cboe.com)

#### Network

913.815.7005

[NOC@cboe.com](mailto:NOC@cboe.com)

#### Market Data Services

212.378.8821

[MarketData@cboe.com](mailto:MarketData@cboe.com)