

## Cboe EDGX Exchange, Inc. Options Member Agreement

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In connection with the Applicant's application for participation in the Cboe EDGX Exchange, Inc. Options Market ("EDGX Options") and in the event that this application is approved for participation, the Applicant hereby agrees to abide by the terms and conditions set forth below:

- A. To comply with the federal securities laws, the rules and regulations thereunder; EDGX rules including but not limited to the EDGX Options rules and the rules of other SROs that have been incorporated by reference;<sup>1</sup> all circulars, notices, directives or decisions adopted pursuant to or made in accordance with EDGX rules; and all rulings, orders, directions and decisions issued and sanctions imposed under EDGX rules;
  
- B. To pay such dues, assessments and other charges in the manner and amount as from time to time shall be fixed pursuant to EDGX rules;
  
- C. That this Agreement has been executed on behalf of, and with the authority of the Applicant. The undersigned and Applicant represent that the information and statements contained within the application and other information filed are current, true, and complete. The undersigned and the Applicant further represent that to the extent that any information submitted is not amended, such information is currently accurate and complete and agree that the information contained in the Applicant's Uniform Application for Broker-Dealer Registration (Form BD) will be kept current and accurate by proper amending of the Form BD promptly after changes occur. Applicant further represents that the registrations for the Applicant's Options Principal(s), Authorized Traders and any other personnel, registered with EDGX, will be kept current by proper amending of Form U4 & Form U5.

Member: \_\_\_\_\_

Cboe EDGX Exchange, Inc.

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

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<sup>1</sup> In the amendment to its existing rules to permit trading on EDGX Options, Cboe EDGX Exchange, Inc. incorporated the following rules by reference: (1) Cboe Options rules governing position and exercise limits for equity and index options (see EDGX Rules 18.7, 18.9, 29.5, and 29.7); (2) the margin rules of Cboe Options or the NYSE (see EDGX Rule 28.3); and (3) FINRA's rules governing communications with the public (see EDGX Rule 26.16). Pursuant to an exemption from Section 19(b), the Exchange will not file rule filings each time an incorporated rule has been amended, but will publish on its public website notices of any changes to an incorporated rule.

**Cboe EDGX Exchange, Inc.**  
**Options Member Letter of Guarantee**

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**NOTICE OF CONSENT** – To be completed by Clearing Member of Applicant

\_\_\_\_\_  
Member Name

The Member noted above has represented to the undersigned Clearing Member, a Member of the Options Clearing Corporation, that it is registered as a Member of the Cboe EDGX Exchange, Inc. Options Market (“EDGX Options”). In accordance with Rule 22.8 of the rules of EDGX Options, the undersigned Clearing Member accepts financial responsibility for all EDGX Options transactions made by the above referenced Member when executing such transactions through the undersigned Clearing Member. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with the Exchange. Any such revocation shall in no way relieve the undersigned Clearing Member of responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

\_\_\_\_\_  
Clearing Member (Broker-Dealer Name)

\_\_\_\_\_  
OCC Clearing #

\_\_\_\_\_  
Signature of Authorized Officer, Partner or Managing  
Member or Sole Proprietor of Clearing Member

\_\_\_\_\_  
Printed Name/Title

\_\_\_\_\_  
Date

**Cboe EDGX Exchange, Inc.**  
**Options Self Clearing Member Letter of Guarantee**

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**NOTICE OF CONSENT** – To be completed by Self Clearing Member of EDGX Options

\_\_\_\_\_  
Member Name

The Member noted above is a registered Self Clearing Member of the Cboe EDGX Exchange, Inc. Options Market (“EDGX Options”). In accordance with Rule 22.8 of the rules of EDGX Options, the Member accepts financial responsibility for all EDGX Options transactions made by the Member. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with the Exchange. Any such revocation shall in no way relieve the Member of responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

\_\_\_\_\_  
OCC Clearing #

\_\_\_\_\_  
Signature of Authorized Officer, Partner or Managing  
Member or Sole Proprietor of Member

\_\_\_\_\_  
Printed Name/Title

\_\_\_\_\_  
Date