

Cboe Options Exchange Individual Application

**The appropriate fees and paperwork must accompany this application.
All application fees are non-refundable.**

1. Name _____
2. Individual CRD # _____ if applicable, NFA ID # _____
3. Business E-mail Address _____
4. Business Address _____
City _____ State/Province _____ Zip/Mail Code _____ Country _____
5. Telephone: Business _____ Mobile _____
6. Type of application: ☐ Individual (Sole Proprietor) ☐ Nominee
7. If applicable, name of TPH organization for which you will be a Nominee:

8. Capacity in which you intend to act as a Trading Permit Holder:
☐ Market Maker ☐ Floor Broker
☐ Proprietary Trading Permit Holder ☐ No Trading Function
9. Cboe Options Clearing Trading Permit Holder issuing Market Maker Letter of Guarantee, Floor Broker Authorization or Connectivity Guarantee for Login Access:
Name: _____ OCC # _____
10. Are you currently, or have you ever been, the subject of a legal proceeding? Please identify and describe all such legal proceedings whether or not they are or were related to your activities in the securities industry. For the purposes of this question, the term "legal proceeding" is intended to be construed broadly and would be deemed to include, but not be limited to, if you are or have been a party in a lawsuit or arbitration proceeding, if you are or have been the subject of a proceeding initiated by a government agency or as a result of a customer complaint, if you are or have been the subject of a criminal proceeding (including, but not limited to, any proceeding in which you were charged with, convicted of, or pled guilty or no contest to any misdemeanor, felony or other crime).
☐ No ☐ Yes If yes, describe _____

11. Are you currently, or have you ever been, the subject of an investigation conducted by, or on behalf of, any securities exchange, self-regulatory organization ("SRO") under the Securities Exchange Act of 1934, any futures contract market, exchange or self-regulatory organization (hereinafter collectively referred to as "securities or futures SRO"), or any federal or state securities or futures regulatory agency or commission regarding your activities? ☐ No ☐ Yes If yes, describe _____

12. Are you currently, or have you been, a party in a disciplinary proceeding conducted by, or on behalf of, any securities or futures SRO, or any federal or state securities or futures regulatory agency or commission regarding your activity? ☐ No ☐ Yes If yes, describe _____

13. Have you ever been sanctioned by any securities or futures SRO or any federal or state securities or futures regulatory agency or commission, including, but not limited to the following? ☐ No ☐ Yes If yes, please check the appropriate box and describe _____

☐ Censure

☐ Fine

☐ Suspension

☐ Bar

14. Are you a member of any national securities exchange, national securities association, or commodities exchange? ☐ No ☐ Yes If yes, identify _____

Consent to Jurisdiction

I hereby agree to abide by the Bylaws and Rules of the Cboe Options Exchange (Cboe Options) as they shall be in effect from time to time.

I authorize any governmental agency, national securities exchange, national securities association, commodities exchange and all my former employers and other persons to furnish to Cboe Options, 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 Cboe Options.

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

I agree to promptly update my application materials if any of the information provided in these materials becomes inaccurate or incomplete after the date of submission of my application to Cboe Options and prior to any approval of the application.

I acknowledge and agree that under the Fair Credit Reporting Act Cboe Options 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. The Federal Trade Commission's "Summary of Your Rights under the Fair Credit Reporting Act" is available [here](#).

I agree to be subject to the jurisdiction of the U.S. federal courts and Illinois state courts.

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

Signature of Applicant _____ Date _____