

**Cboe Options Exchange**  
**Application for a TPH Organization to Qualify to Conduct**  
**Business as an Order Service Firm**

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

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

Main Office Address \_\_\_\_\_

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

☐ Corporation

☐ Limited Liability Company

☐ Partnership

Name the executive officer, LLC manager or general partner who is/will be responsible for preparation of the financial statement.

Name \_\_\_\_\_ Title \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-Mail \_\_\_\_\_

Name the executive officer, LLC manager or general partner who is/will be responsible for risk and/or error control.

Name \_\_\_\_\_ Title \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-Mail \_\_\_\_\_

List the firm(s) and contact person(s) with which the TPH Organization maintains its error account(s).

Firm \_\_\_\_\_ Contact Person \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-Mail \_\_\_\_\_

Firm \_\_\_\_\_ Contact Person \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-Mail \_\_\_\_\_

If applicable, list the clearing corporation(s) and/or depository (ies) in which the TPH Organization is either a current or pending participant.

Clearing Corporation \_\_\_\_\_ Depository \_\_\_\_\_

Clearing Corporation \_\_\_\_\_ Depository \_\_\_\_\_

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**

1. A copy of the most recent net capital computation (if applicable)
2. Balance sheet
3. Income statement
4. A copy of the most recent audit report (if applicable)
5. Description of its Brokers' Blanket Bond arrangement (if applicable)
6. Indicate other exchanges on which a membership is currently held or an application for membership is currently pending or anticipated \_\_\_\_\_
7. A description of how and where stock orders or futures orders are routed for execution
8. A description of the mechanisms in place to prevent errors
9. A copy of the written procedures for liquidation of errors
10. Copies of the most recent monthly error account and proprietary account statements