

Cboe Exchange, Inc.
On-Floor Lead Market-Maker (LMM)
Appointment Application

| I. APPLICANT DATA | | |
|---------------------------|-------------|------|
| Name of TPH Organization: | | |
| Business Address: | | |
| City: | State: | Zip: |
| Phone: | Firm CRD #: | |

| APPOINTED CLASS |
|---|
| Request to be appointed in class: _____ |

| APPLICANT CONTACT PERSON RELATED TO LMM PROGRAM | |
|---|--------|
| Name of Contact Person: | |
| E-Mail: | Phone: |

| DESIGNEE INFORMATION | |
|--|-------------------|
| Information concerning individuals (designees) who will act on behalf of the LMM. This information must be completed for all LMM designees. Describe, in detail, all industry experience as well as the relevant trading experience of each designee named in this application. Include all experience as a floor broker, market-maker or proprietary (firm) trader. Please list any additional Designee(s), if any, on a separate page using the same format. | |
| DESIGNEE #1 | |
| Name/Acr: | CRD #: |
| Title: | Business Phone: |
| Email: | Mobile/Pit Phone: |
| Experience: | |

| DESIGNEE #2 | |
|-------------|-------------------|
| Name/Acr: | CRD #: |
| Title: | Business Phone: |
| Email: | Mobile/Pit Phone: |
| Experience: | |

| DESIGNEE #3 | |
|-------------|-------------------|
| Name/Acr: | CRD #: |
| Title: | Business Phone: |
| Email: | Mobile/Pit Phone: |
| Experience: | |

| DESIGNEE #4 | |
|-------------|-------------------|
| Name/Acr: | CRD #: |
| Title: | Business Phone: |
| Email: | Mobile/Pit Phone: |
| Experience: | |

| APPLICANT INFORMATION | | | | | | |
|--|-----------------|----------------------------|----------|--------|-----------------------------|----|
| Identify the owners, partners, members, and designees of the applicant LMM member organization as follows: | | | | | | |
| Names of Owners, Partners, Members, Designees | Title or Status | \$ Capital Contribution | % Profit | % Loss | Intends to act as an LMM | |
| | | | | | YES | NO |
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| ADDITIONAL INFORMATION |
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| <p>A. Please list those owners, partners, members, and designees of this LMM applicant organization who are affiliated in any way with another LMM organization. Include the extent of the affiliation, including amounts of capital contributions, % profits, % losses, voting rights etc.</p> |
| <p>B. Describe in detail, the proposed day-to-day operation of the LMM station. Include information such as: Who will be the LMM designees at the station; how many hours/days/months will these people be employed at the station; describe the autonomy of each designee who will man the station; how many clerks will continuously support the operation etc.</p> |

C. Note any disciplinary or remedial action taken against any individual or organization named in this application other than action taken pursuant to an SRO minor rule violation plan. If any disciplinary or remedial action has been taken, describe in detail the circumstances surrounding each action and identify the issuing SRO or governmental agency. Also note and describe any warnings issued to any individual or organization named in this application related to a capital or operational problem, rules of trading procedure or evaluation of market quality and identify the issuing SRO or Governmental agency.

MARKET SERVICE

Describe the efforts which are proposed by the applicant to provide the highest quality service to member organizations conducting business at Cboe Options. Responses should be specific with respect to willingness to participate in marketing efforts, maintaining competitive markets, competing with other marketplaces, and promoting Cboe Options as the marketplace of choice.

MARKET QUALITY

Describe the level of market quality which the applicant proposes to maintain. Specifically, note commitments to bid-ask spread differentials, firmness, size and depth of markets.

OPERATIONAL CONSIDERATIONS

A. Describe the level of staffing which the applicant intends to have available.

B. Describe the arrangements which have been made to assure that the LMM station is continuously operated by approved and experienced LMM designees.

CAPITAL

Note the financial resources that the LMM Applicant proposes to commit. Provide details such as: The specific dollar amount; the name(s) of the source(s); whether or not the source(s) has any management responsibility or participates in the profits/losses of the operation and to what extent the source(s) participates in management and/or profits/losses. If the money is borrowed, note the repayment schedule. Provide any other related information that should be considered by the Exchange.

MISCELLANEOUS

Note any additional information which the applicant deems pertinent to this application.

I have carefully read the questions contained on this application and the responses that have been provided to those questions. On behalf of the LMM applicant organization, I represent that the responses provided and any other information provided to Cboe Options on behalf of the LMM applicant organization in connection with this application is current, accurate, and complete.

Signature of Authorized Officer, Partner or
Managing Member of TPH

Date

Printed Name

Title