



Cboe SEF Participant Application

In order to apply to become a Participant of Cboe SEF, LLC (**Cboe SEF**), an Applicant must submit all materials listed on the Application Checklist below via email to MembershipServices@cboe.com.

Applicants are required to promptly update any information submitted in this application when and if it becomes inaccurate or incomplete after submission.

APPLICATION CHECKLIST
<input type="checkbox"/> Participant Application
<input type="checkbox"/> Organizational Documents: Certificate of Incorporation and Bylaws; or Partnership Agreement and Registration Certificate; or Limited Liability Company Operating Agreement and Registration Certificate; or Other organizational documents
<input type="checkbox"/> IRS Form W-8 or W-9
<input type="checkbox"/> All applicants are required to answer EVERY question and provide information in each field. Applicants may answer "N/A" (not applicable) where appropriate. All applicants are required to provide an ID number or put "N/A" for all areas requesting a CRD# or NFA ID .

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

Cboe SEF 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 or 312.786.7449. In addition, please contact sefoperations@cboe.com with any questions regarding the membership onboarding process.



Cboe SEF Participant Application

GENERAL INFORMATION			
Name of Applicant:			
Business Address:			
City:	State:	Zip/Postal Code:	Country:
Tax ID #:		SWIFT Code: <i>Applicable to Prime Broker and Principal Trading Firms Only</i>	
CRD Number:		Legal Entity Identifier (LEI):	
NFA ID:		VAT Identification Number (VATIN):	
U.S. PERSON STATUS			
Is the Participant a "U.S. Person," as that term has been defined under the Commodity Futures Trading Commission's (CFTC) regulations, including Regulation 23.23(a)(23), or any guidance or interpretations issued by the CFTC or its staff. <input type="checkbox"/> Yes <input type="checkbox"/> No			
If the Participant is not a U.S. Person, is the Participant a "Guaranteed Entity" that is not expressly excepted under paragraphs (A), (B), or (C) of CFTC Regulation 23.23(b)(2)(iii) (a Covered Guaranteed Entity). <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A			
BILLING ADDRESS			
Address of Billing Office:			
City:	State:	Zip/Postal Code:	Country:
Billing Contact Name:		Email:	
TYPE OF ORGANIZATION			
<input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Other (specify: _____)			
Organized under the laws of: _____			
PARTICIPANT CATEGORY			
<input type="checkbox"/> Prime Broker <input type="checkbox"/> Trading Firm <input type="checkbox"/> Principal Trading Firm			
A <u>Trading Firm</u> is only authorized to enter into Transactions via a Prime Broker. A <u>Principal Trading Firm</u> shall be authorized to enter into Transactions for its own account. For more details please consult Cboe SEF Rule 305 .			
DEALER STATUS			
<input type="checkbox"/> Swap Dealer (SD) <input type="checkbox"/> Major Swap Participant (MSP) <input type="checkbox"/> Neither an SD nor an MSP			
If the Participant is not a Swap Dealer or a Major Swap Participant, is the Participant a financial entity as defined in Commodity Exchange Act 2(h)(7)(C)? <input type="checkbox"/> Yes <input type="checkbox"/> No			
COMPLIANCE CONTACT			
Name:		Title:	
Business Address:			
NFA ID:	FINRA CRD:	Phone:	
Email:			



DESIGNATED OPERATIONAL CONTACT

For an Applicant seeking to participate on Cboe SEF as a **Trading Firm** or **Principal Trading Firm**, designate an employee (Designated Operational Contact) to administer and manage Trading Privileges for the use of the SEF Trading System on behalf of the Applicant.

For an Applicant seeking to participate on Cboe SEF as a **Prime Broker**, designate a Designated Operational Contact to manage the Credit Limits of any Trading Firm authorized to enter into Transactions on Cboe SEF for the account of such Prime Broker as its agent.

A Designated Operational Contact may not be an Authorized Trader of the Applicant (but may be the Authorized Representative).

Name:	Title:	
Business Address:		
NFA ID:	FINRA CRD:	Phone:
Email:		

AUTHORIZED REPRESENTATIVE

The Applicant must designate an employee (Authorized Representative) to be the primary contact with Cboe SEF, to represent such Applicant before Cboe SEF and Cboe SEF Committees and to have authority to act on behalf of the Applicant.

The Authorized Representative may not be an Authorized Trader of the Applicant (but may be the Designated Operational Contact).

Name:	Title:	
Business Address:		
NFA ID:	FINRA CRD:	Phone:
Email:		

AUTHORIZED TRADER(S)

An Applicant seeking to participate on Cboe SEF as a **Trading Firm** or **Principal Trading Firm** may designate one or more Authorized Traders to enter orders onto Cboe SEF Trading System on behalf of the Applicant. Please list additional Authorized Trader(s), if any, on the [Cboe SEF Authorized Trader Request Form](#). All fields must be completed. If they do not apply, please indicate n/a.

Name:	NFA ID:	
Title:	FINRA CRD:	
Email:	Phone:	
Business Address:		
City:	State:	Zip Code:
OEO ID:	<input type="checkbox"/> Manual	<input type="checkbox"/> ATS Supervisor
Authorized Trader's Supervisor:		
Email:	Phone:	



Name:	NFA ID:	
Title:	FINRA CRD:	
Email:	Phone:	
Business Address:		
City:	State:	Zip Code:
OEO ID:	<input type="checkbox"/> Manual	<input type="checkbox"/> ATS Supervisor
Authorized Trader's Supervisor:		
Email:	Phone:	
Name:	NFA ID:	
Title:	FINRA CRD:	
Email:	Phone:	
Business Address:		
City:	State:	Zip Code:
OEO ID:	<input type="checkbox"/> Manual	<input type="checkbox"/> ATS Supervisor
Authorized Trader's Supervisor:		
Email:	Phone:	
APPLICANT'S CURRENT OR PENDING NFA REGISTRATIONS		
Type of Firm Registration	Current Registration	Pending Registration
	NFA ID:	<input type="checkbox"/>
	NFA ID:	<input type="checkbox"/>
AUSTRALIAN REGULATION		
Is the Applicant domiciled in Australia <u>or</u> the foreign office or branch of an Australian entity: <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, the Applicant:		
(i) is a professional investor, or a branch or office of an entity that is a professional investor; <u>and</u>		
(ii) will only execute transactions on Cboe SEF on its own behalf, or on behalf of a person who is a professional investor. <input type="checkbox"/> Yes <input type="checkbox"/> No		
ONTARIO REGULATION		
Is the Applicant subject to regulation by the securities laws of the Province of Ontario: <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, is the Applicant:		
Registered as applicable under the Ontario securities laws? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Exempt from the registration requirements of the Ontario securities laws? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Not subject to the registration requirements of the Ontario securities laws? <input type="checkbox"/> Yes <input type="checkbox"/> No		
SWISS REGULATION		
Is the Applicant domiciled in Switzerland? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Is the Applicant subject to supervision by the Swiss Financial Market Supervisory Authority (FINMA)? <input type="checkbox"/> Yes <input type="checkbox"/> No		



The undersigned represents that the information and statements contained herein, including exhibits attached hereto, may be verified by investigation, and hereby declares that they are true, complete and accurate.

By executing this Application, the undersigned agrees, for itself and on behalf of its Authorized Traders (if applicable), Designated Operational Contact, Authorized Representative, and any other Person interacting on or with Cboe SEF, as follows:

(a) The Applicant hereby agrees to abide by the rules of Cboe SEF, LLC as they shall be in effect from time to time (the **Rulebook**). All capitalized terms used in this Participant Application that are not otherwise defined herein shall have the meanings ascribed to them in the Rulebook.

(b) The Applicant hereby agrees and authorizes Cboe SEF to request of any governmental agency, futures exchange, securities exchange, national securities association, registered futures association or other entity that it furnish to Cboe SEF any information it may have concerning the Applicant, and the Applicant hereby agrees that neither Cboe SEF nor any such entity shall have any liability of whatsoever nature by reason of requesting or furnishing such information to Cboe SEF.

(c) The Applicant authorizes Cboe SEF 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 Cboe SEF may have concerning the Applicant, and the Applicant hereby releases Cboe SEF from any and all liability of whatsoever nature by reason of furnishing such information.

(d) The Applicant acknowledges its obligation to update any and all information contained in any part of this Application.

By executing this Application, the undersigned hereby represents and warrants on behalf of the Applicant that (a) the Applicant is an "eligible contract participant" as such term is defined in [Section 1a\(18\)](#) of the Commodity Exchange Act, and (b) the Applicant meets the eligibility requirements as set forth in Cboe SEF Rule 307.

Signature of Authorized Signatory

Date

Printed Name

Title