

# Market Maker Registration Application

Members applying to become Market Makers registered with Cboe BZX Exchange, Inc. (“BZX”), Cboe BYX Exchange, Inc. (“BYX”), Cboe EDGA Exchange, Inc. (“EDGA”) and Cboe EDGX Exchange, Inc. (“EDGX”) (each, an “Exchange”) are required to complete this Market Maker Registration Application. The Exchange may require additional information from any Applicant prior to determining whether to register such Applicant as a Market Maker.

To apply, please complete this Market Maker Registration Application and submit with all required supplementary materials via email to [MembershipServices@bats.com](mailto:MembershipServices@bats.com).

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

GENERAL INFORMATION		
Date:	CRD #:	
Name of Applicant:		
Address of Principal Office:		
City:	State:	Zip:
OTHER BUSINESS ACTIVITIES		
<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"><input type="checkbox"/> Investment Banking</div> <div style="width: 30%;"><input type="checkbox"/> Public Securities Business</div> <div style="width: 30%;"><input type="checkbox"/> Proprietary Trading</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;"><input type="checkbox"/> Market Maker</div> <div style="width: 30%;"><input type="checkbox"/> Dealer/Specialist</div> <div style="width: 30%;"><input type="checkbox"/> Other: _____</div> </div> <p style="margin-top: 10px;">If the Applicant is a Market Maker or Dealer/Specialist, please provide a list of the registered national securities exchange(s) or association(s) on which the Applicant has been approved as such:</p>  		
SECURITIES		
Estimate the number of securities in which the Applicant intends to become registered as a Market Maker: _____		
NET CAPITAL		
Excess Net Capital Amount: _____ As of Date: _____		
<input type="checkbox"/> Most recent FOCUS Report enclosed - required		

MARKET MAKER AUTHORIZED TRADERS

To be eligible for registration as a Market Maker Authorized Trader ("MMAT"), as defined in Exchange Rule 1.5(m), a person must successfully complete proficiency examinations and continuing education requirements applicable to Authorized Traders, as set forth in Interpretation and Policies .01 and .02 to Exchange Rule 2.5<sup>1</sup>. Market Makers must maintain a current list of MMATs who are permitted to enter orders on behalf of the Market Maker pursuant to BZX and BYX Rule 11.8(a)(4), EDGA and EDGX Rule 11.20(a)(4).

Name: \_\_\_\_\_ CRD #: \_\_\_\_\_

Series 7 Qualification  Series 57 Qualification

Seeking registration on:  BZX  BYX  EDGA  EDGX

Will this individual require a web log-in to facilitate symbol registration?  Yes  No

If yes, please provide the information below:

Email address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Name: \_\_\_\_\_ CRD #: \_\_\_\_\_

Series 7 Qualification  Series 57 Qualification

Seeking registration on:  BZX  BYX  EDGA  EDGX

Will this individual require a web log-in to facilitate symbol registration?  Yes  No

If yes, please provide the information below:

Email address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Name: \_\_\_\_\_ CRD #: \_\_\_\_\_

Series 7 Qualification  Series 57 Qualification

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Name: \_\_\_\_\_ CRD #: \_\_\_\_\_

Series 7 Qualification  Series 57 Qualification

Seeking registration on:  BZX  BYX  EDGA  EDGX

Will this individual require a web log-in to facilitate symbol registration?  Yes  No

If yes, please provide the information below:

Email address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

<sup>1</sup> In exceptional cases and where good cause is shown, the Exchange may waive such requirement. Contact Membership Services at 913.815.7002 for more information regarding requesting a waiver of the proficiency exam requirement.

## MARKET MAKER RESTRICTIONS

Restrictions apply to a Market Maker registered in a UTP Derivative Security that derives its value from any of the following: one or more currencies, commodities, derivatives based on one or more currencies or commodities, or a basket or index comprised of currencies or commodities (collectively, "Reference Assets"). BZX Rule 14.11(j)(5) and BYX, EDGA and EDGX Rule 14.1(c)(5) require a Market Maker registered in a UTP Derivative Security to file with the respective Exchange(s) and keep a current list identifying all accounts for trading Reference Assets or any derivative instruments based on a Reference Asset of that UTP Derivative Security, which the Applicant: (1) holds an interest; (2) has investment discretion; or (3) shares in the profits and/or losses.

If the applicant intends to become a registered Market Maker in a UTP Derivative Security, please submit a current list of accounts in which the underlying physical asset or commodity, related futures or options on futures, or any other related derivatives are traded to the Regulatory Department at [Surveillance@bats.com](mailto:Surveillance@bats.com).

## WEBSITE DISCLOSURE AND DATA PROVIDED TO ISSUERS

Notwithstanding any provision to the contrary set forth in User Agreement by and between the Exchange and applicant (the "User Agreement") related to information or data that applicant or applicant's agent enters into Exchange ("Transaction Data"), applicant hereby grants to the Exchange a non-exclusive, non-assignable, non-transferable, worldwide, irrevocable license to receive and use Transaction Data solely within Exchange market data products that it offers exclusively to issuers relating to the market in the issuer's own securities even if such market data products present Transaction Data in a manner that provides applicant's volume ranking on the Exchange in such issuer's own securities. Further, applicant hereby agrees that Exchange can publicly identify applicant as a Market Maker on the Exchange. Finally, applicant agrees that Exchange can provide confidential information derived from Transaction Data solely to issuers relating to the market in an issuer's own securities and that such information may include applicant's identity.

The undersigned attests that the information provided in this application on behalf of the Applicant is complete and accurate. Furthermore, the undersigned acknowledges that the Applicant agrees to update the application as necessary, and to abide by all rules of the Exchange, and interpretations thereof, as they currently exist and as they may be added, supplemented and/or amended from time to time.

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

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Printed Name

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Title

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Date