

Options Member Application

Any currently approved Member of Cboe BZX Exchange, Inc. or Cboe EDGX Exchange, Inc. (each, an “Exchange”) is eligible to transact business on the Exchange’s Options Market provided that the Exchange specifically authorizes the Member as an “Options Member.” To become an Options Member, a current Exchange Member is required to complete this Options Member Application. An Applicant who is not currently an Exchange Member is required to complete the general [Membership Application and Agreements](#) and this Options Member Application to transact business on the Exchange’s Options Market.

To apply, please complete and submit all materials listed on the Application Checklist below via email to MembershipServices@bats.com.

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

APPLICATION CHECKLIST
<input type="checkbox"/> Membership Application
<input type="checkbox"/> Options Member Letter of Guarantee (for Firms who are not self-clearing) – per Exchange
OR
<input type="checkbox"/> Options Self Clearing Member Letter of Guarantee (for Firms who are self-clearing) – per Exchange
<input type="checkbox"/> Options Member Agreement – per Exchange
<input type="checkbox"/> A list of all Authorized Traders, including name and CRD # , the Applicant will be registering with the Exchange

Note: All application materials sent to the Exchange will be reviewed for completeness. All applications are deemed confidential and are handled in a secure environment. Applications may, however, be shared with other self-regulatory organizations (e.g., FINRA), as necessary, to evaluate and process the application.

The Exchange may request Applicants to submit documentation in addition to what is listed in the Application Checklist during the application review process, pursuant to Exchange Rule 17.1. If you have questions on completing the application, you may direct them to Membership Services at MembershipServices@bats.com or 913.815.7002. In addition, please refer to the Exchange’s website at www.bats.com for additional information regarding the membership process.

Options Member Application

GENERAL INFORMATION				
Date:	CRD #:			
Name of Applicant:				
Address of Principal Office:				
City:	State:	Zip:		
BILLING ADDRESS				
Address of Billing Office:				
City:	State:	Zip:		
BUSINESS CONTACT	BILLING CONTACT			
Name:	Name:			
Title:	Title:			
CRD #:	CRD #:			
Email:	Email:			
Phone:	Phone:			
OTHER SELF-REGULATORY ORGANIZATION MEMBERSHIPS (check all that apply)				
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding: 5px;"> <input type="checkbox"/> BOX Options Exchange, LLC <input type="checkbox"/> Cboe BZX Options Market <input type="checkbox"/> Cboe EDGX Options Market <input type="checkbox"/> Cboe C2 Exchange, Inc. <input type="checkbox"/> Cboe Exchange, Inc. <input type="checkbox"/> Financial Industry Regulatory Authority <input type="checkbox"/> International Securities Exchange, LLC <input type="checkbox"/> ISE Gemini, LLC </td> <td style="width: 50%; vertical-align: top; padding: 5px;"> <input type="checkbox"/> ISE Mercury, LLC <input type="checkbox"/> MIAX Options Exchange <input type="checkbox"/> MIAX PEARL, LLC <input type="checkbox"/> NASDAQ Options Market <input type="checkbox"/> NASDAQ OMX BX, Inc. <input type="checkbox"/> NASDAQ OMX PHLX, LLC <input type="checkbox"/> NYSE American Options <input type="checkbox"/> NYSE Arca Options </td> </tr> </table>			<input type="checkbox"/> BOX Options Exchange, LLC <input type="checkbox"/> Cboe BZX Options Market <input type="checkbox"/> Cboe EDGX Options Market <input type="checkbox"/> Cboe C2 Exchange, Inc. <input type="checkbox"/> Cboe Exchange, Inc. <input type="checkbox"/> Financial Industry Regulatory Authority <input type="checkbox"/> International Securities Exchange, LLC <input type="checkbox"/> ISE Gemini, LLC	<input type="checkbox"/> ISE Mercury, LLC <input type="checkbox"/> MIAX Options Exchange <input type="checkbox"/> MIAX PEARL, LLC <input type="checkbox"/> NASDAQ Options Market <input type="checkbox"/> NASDAQ OMX BX, Inc. <input type="checkbox"/> NASDAQ OMX PHLX, LLC <input type="checkbox"/> NYSE American Options <input type="checkbox"/> NYSE Arca Options
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Name of Applicant's Designated Examining Authority (DEA): _____				
EXAMINATIONS				
State the date of the Applicant's last examination during which supervisory procedures were reviewed and by which SRO.				
Date: _____ SRO: _____				
OPTIONS ALLOCATION METHOD				
Indicate the allocation method for exercise notices assigned in respect of a short position in Applicant's customers' accounts (Exchange Rule 23.2)				
<input type="checkbox"/> First in, first out <input type="checkbox"/> Automated random selection <input type="checkbox"/> Other _____ <input type="checkbox"/> Not applicable				
MARGIN REQUIREMENTS SELECTION				
Indicate the applicable initial and maintenance margin requirements (Exchange Rule 28.3).				
<input type="checkbox"/> Cboe Options or <input type="checkbox"/> NYSE				

PRINCIPAL REGISTRATION

The Exchange requires each Options Member to be under the supervision and control of a Responsible Person who is registered with the Exchange as an Options Principal. Each Options Principal shall pass the appropriate Registered Options Principal Qualification Examination (“Series 4”), or an equivalent examination acceptable to the Exchange. See Exchange Rule 17.1(b) and 17.2(g) for additional information regarding principal registration. Please indicate below the individual that the Applicant intends to register with the Exchange to comply with these requirements.

Name:	Title:	CRD #:
Business Address:		
Phone:	Email:	

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