

Cboe BZX Exchange, Inc. Competitive Liquidity Provider Registration Application

Any currently approved Market Maker on Cboe BZX Exchange, Inc. (the “Exchange”) is eligible to apply to become a Competitive Liquidity Provider (“CLP”). To become a CLP, a current Exchange Market Maker is required to complete this Competitive Liquidity Provider Registration Application. The Exchange may require additional information from any Applicant prior to determining whether to register such Applicant as a CLP.

To apply, please complete this Competitive Liquidity Provider Registration Application and submit via email to 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 <input type="checkbox"/> Market Maker </div> <div style="width: 30%;"> <input type="checkbox"/> Public Securities Business <input type="checkbox"/> Dealer/Specialist </div> <div style="width: 30%;"> <input type="checkbox"/> Proprietary Trading <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>		
CLP TRADING IDENTIFIERS		
<p>Applicant must identify to the Exchange the identifier it will use for CLP trading. A Member may not use an identifier for trading activity at the Exchange in assigned CLP securities that is <u>not</u> CLP trading activity, but may use the same unique identifier for trading activity in securities not assigned to such CLP. If a Member does not identify to the Exchange the unique identifier to be used for CLP trading activity, the Member will not receive credit for such CLP trading.</p> <p>MPID to be used for CLP trading activity: _____</p>		
SECURITIES		
<p>Identify the types of issues in which the Applicant intends to become registered as a CLP:</p> <div style="margin-top: 10px;"> <input type="checkbox"/> Corporate Issuers (Tier I or Tier II) <input type="checkbox"/> Exchange Traded Products, including ETFs </div>		

REPRESENTATIONS AND ACKNOWLEDGEMENTS

REPRESENTATIONS OF APPLICANT:

By executing this Application, the Applicant agrees as follows:

- The Applicant represents that it has adequate technology to support electronic trading through the systems and facilities of the Exchange;
- The Applicant represents that it has adequate trading infrastructure to support CLP trading activity, which includes support staff to maintain operational efficiencies in the CLP program and adequate administrative staff to manage the Member's participation in the CLP program;
- The Applicant recognizes that all CLP orders must only be for the proprietary account of the CLP Member; and
- The Applicant represents that the information and statements contained herein, including exhibits attached hereto, are current, true and complete in all material respects.

WAIVER OF CONFIDENTIALITY AND ANONYMITY:

Further, the Applicant acknowledges and agrees as follows:

The Applicant acknowledges that the User Agreement by and between the Exchange and Applicant (the "User Agreement"), including but not limited to Sections 8 and 10, require the Exchange to keep Applicant's identity confidential and would preclude the Exchange from publishing any information regarding information and data that Applicant or Applicant's agent enters into the Exchange ("Transaction Data"). Notwithstanding such provisions, 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 CLP 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.

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

Printed Name

Title

Date