

Cboe Futures Exchange, LLC
Peruvian Trading Privilege Holder
Supplemental Application Form

The business organization referenced below ("Organization") represents and warrants to Cboe Futures Exchange, LLC ("CFE") that as of the date of the Organization's application for Trading Privileges and on each day thereafter until the Organization's Trading Privileges are terminated:

- ☐ If the Organization is incorporated or established in Peru, resident or domiciled in Peru, or carries on business through a branch in Peru, the Organization is:
 - ☐ an institutional investor; or
 - ☐ an intermediation agent.

each as defined below.

Definitions:

Institutional Investor: Institutional Investor has the meaning prescribed under applicable Peruvian Laws, which is set forth in Annex 1 of *Resolución SMV No. 021-2013* as amended and updated (the Regulation of Markets for Institutional Investors in Peru), and which includes the following:

- a) Banks, financing companies and insurance companies, private pension funds managers and other financial institutions referred to in Article 16 of the Banking Act, intermediation agents, investment funds, mutual funds and securitisation companies;
- b) Qualified Institutional Buyers, as defined under SEC Rule 144A;
- c) Health care institutions (*Entidades Prestadoras de Salud*), the National Pensions Office (*Oficina de Normalización Previsional - ONP*) and the Social Security Administration (Essalud);
- d) Private or public companies which invest in securities as part of their regular activities. In the case of companies which are not State-owned, these shall have a minimum investment portfolio of S/ 1,997,322 (approximately US\$ 521,494 at the exchange rate as of November 6, 2023); and
- e) Funds and trusts managed by the persons referred to above, when the investment decision belongs to them, as long as the net assets of such funds or trusts individually considered is equal or greater than S/ 798,929 (approximately US\$ 208,598 at the exchange rate as of November 6, 2023).

Intermediation Agent: Intermediation Agent has the meaning prescribed under article 167 of *Decreto Legislativo No. 861* as amended and restated (the Peruvian Securities Market Act), which includes *sociedades agentes de bolsa* (brokerage houses) authorized under article 185 of the Peruvian Securities Market Act and *sociedades intermediarias de valores* (securities intermediation companies) authorized under article 204 of the Peruvian Securities Market Act.

- ☐ If the Organization trades in products offered for trading on CFE on behalf of persons in Peru or permits persons in Peru to trade in products offered for trading on CFE through

the Organization, the Organization has in place measures to ensure that all such persons are institutional investors (as defined above).

- ☐ The Organization consents, on its own behalf and on behalf of each third party individual to the collection, use and disclosure of personal data by CFE and/or its affiliates, service providers, and agents for all purposes in connection with: (a) assessing the Organization's application and managing its ongoing status as a Trading Privilege Holder (if admitted); (b) verifying the identity of the Organization's executive officers, Responsible Traders, or persons acting on behalf of the Organization; (c) carrying out the functions of the CFE platform; (d) the administration, verification, processing, and effecting of any transactions placed through the CFE platform; (e) preventing, detecting, and investigating any potential rule or regulatory violation and analyzing and managing commercial risks; (f) meeting the legal, regulatory, and/or reporting obligations of CFE and/or its affiliates; (g) complying with any applicable rules, laws, or regulations, regulatory policies, guidelines or industry codes, judgment, orders, directions, or requests issued by any court, legal, or regulatory bodies including rules and regulations relating to anti-money laundering and countering the financing of terrorism and the carrying out of audit checks, surveillance, and investigation; (h) using aggregated data for market analysis, marketing, and product development; (i) providing lists of current CFE Trading Privilege Holders upon request; and (j) any purpose ancillary to the administration, operation, processing, or management of the CFE platform and the provision of services (including market research and the marketing of products and services of CFE and/or its affiliates) and other general business purposes.
- ☐ The Organization confirms and warrants that it has obtained the prior written consent and authorization of any third party individuals, including customers, employees, Responsible Traders, and executive officers, for and on behalf of CFE and/or its affiliates, service providers, and agents to collect, use and disclose the information contained in this application for all purposes listed above.

Name of Organization

Signature of Authorized Signatory

Name of Authorized Signatory

Title of Authorized Signatory

Date