

Badge Agreement

This Agreement between Cboe Global Markets, Inc. (Cboe) and Trading Permit Holder (TPH) Floor Personnel (referred to as "Badge Holder") is for services requested by Badge Holder and/or Badge Holder's Employer and provided by Cboe's Security Office. This Agreement continues in effect until the Badge Holder and/or Badge Holder's employer notifies Membership Services in writing of cancellation of services and badge holder and/or badge holder's employer has fully paid for all services provided hereunder.

An executed version of this agreement must be emailed to Membership Services at MembershipServices@cboe.com. Questions may be directed to 913.815.7002.

BADGE HOLDER INFORMATION

Name:	Individual CRD #:
Email:	Phone:
Employer Name:	
Badge Type: <input type="checkbox"/> Clerk <input type="checkbox"/> TPH Personnel	Badge Fee: See fee schedule here .

FEES: Badge holder and/or badge holder's employer agree to pay Cboe the fees for services requested. Monthly fees are NOT prorated if services are requested for only a portion of the month. The monthly fee will continue to be charged until Membership Services is notified of badge holder's termination.

(If in the future Cboe changes the above fees or to whom they are charged and obtains SEC approval via a rule filing, badge holder agrees in advance to pay such fee(s) if applicable.)

ELECTRONIC SIGNATURE: Badge holder and/or badge holders employer acknowledge and agree that service requests/changes/cancellations may be recorded by Cboe using electronic format to capture signatures. Badge holder and/or badge holder's employer herein agree that their electronic signature is valid, authentic, and binding.

AUTHORIZATION: Badge holder's employer represents that it is a Trading Permit Holder of Cboe and that badge holder is an associated person of that TPH, which is identified below. Badge holder's employer requests and authorizes Cboe to issue to badge holder the requested badge above. Badge holder's employer assumes responsibility for actions of the badge holder and acknowledges that Cboe Rule 5.80 requires badge holder's employer to supervise badge holder to assure compliance by badge holder with Exchange rules.

Trading Permit Holders are prohibited from authorizing a badge for any individual that is not employed by the TPH and/or that will be performing functions on Cboe's trading floor other than on behalf of the TPH.

Acknowledged and agreed to by:

Badge Holder

Signature: _____

Date: _____

Employer

Signature: _____

Date: _____

Printed Name: _____

Title: _____

Application Questionnaire

This application questionnaire is to be completed by any person applying for permission to act as a clerk or TPH personnel; on Cboe's trading floor located at 141 W. Jackson Blvd.

Name:	Individual CRD #:
Employer:	

1. Within the preceding 10 years, have you been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony? ☐ Yes ☐ No
2. Within the preceding 10 years, have you been convicted of or pled guilty or no contest in a domestic, foreign or military court to a misdemeanor involving: investments or an investment-related business (including securities, commodities, banking, insurance, or real estate) or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion or a conspiracy to commit any of these offenses? ☐ Yes ☐ No
3. Are you barred or suspended from membership or participation in, or from being associated with a member of, any securities exchange, securities association, commodities exchange, or futures association? ☐ Yes ☐ No
4. Has any federal regulatory agency (such as the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission) or any other federal or state regulatory agency entered an order against you in connection with an investment-related activity (including securities, commodities, banking, insurance, or real estate), denied, suspended, or revoked your registration or license, disciplined you by restricting your activities, or otherwise prevented you from associating with an investment-related business? ☐ Yes ☐ No
5. Are you enjoined from any action, conduct, or practice in connection with the securities, commodities, banking, insurance, or real estate industry? ☐ Yes ☐ No
6. Has any court or federal state regulatory agency found that you were involved in a violation of any investment-related statute or regulation relating to securities, commodities, banking, insurance, or real estate? ☐ Yes ☐ No
7. Have you ever been found to have willfully made a false or misleading statement as to a material fact in any application, report, or proceeding of a self-regulatory organization or to have willfully omitted to state a material fact that was required to be stated in any such application, report, or proceeding? ☐ Yes ☐ No

Cboe Rule 8.5 provides that no applicant shall make any false statements or misrepresentations in any Cboe application (such as this application/questionnaire). I have carefully read the questions above, understand that I am personally responsible for providing accurate answers to these questions, and attest that I have answered the questions truthfully.

Signature: _____

Date: _____

Any question answered above with a "YES", will generally constitute a statutory disqualification. A statutory disqualification is grounds for not permitting you to be associated with a Cboe Trading Permit Holder. If an event occurs at any time in the future that would result in a "YES" answer to one of these questions which causes you to become subject to a statutory disqualification, you are required under Cboe Rule 3.13 (b) to submit an application to Membership Services within ten (10) days of becoming subject to a statutory disqualification for approval to continue in association with your Cboe Trading Permit Holder employer.