

Match Trade Prevention - Unique Identifier Request

This request for a Match Trade Prevention (“MTP”) Unique Identifier is made to Cboe BZX Exchange, Inc., Cboe BYX Exchange, Inc., Cboe EDGA Exchange, Inc., and Cboe EDGX Exchange, Inc. (collectively, the “Exchange”) by the User noted below. A Unique Identifier may be created at (i) the MPID level; (ii) the firm level (e.g., Exchange Member identifier, trading group identifier); or (iii) where the User indicates that MTP is necessary in order to prevent transactions in securities in which there is no change in beneficial ownership. This request should be completed by a User requesting to create a Unique Identifier pursuant to item (iii).

The following User seeks to enable MTP in the MPIDs or firm identifiers provided below in order to prevent transactions in securities in which there is no change in beneficial ownership. The term User is defined by relevant Exchange rules as “any Member or Sponsored Participant who is authorized to obtain access” to the Exchange. The below-named User is requesting the creation of a Unique Identifier on this basis because the User is not able to enable MTP at either the MPID or firm level. The User shall seek to use such Unique Identifier only for transactions in which there is no change in beneficial ownership, and acknowledges that such Unique Identifier will only be associated with the MPIDs or firm level identifiers that are related to the User and that are identified below.

MTP is designed to serve as a supplemental tool that may be utilized by Users and the Exchange generally does not believe that the use of MTP can replace User-based managed risk solutions and notes that MTP was not designed as a sole means of risk control. The User, and not the Exchange, retains full responsibility for complying with such regulatory requirements and must perform its own appropriate due diligence to ensure that MTP is reasonably designed to be effective, and otherwise consistent with the User’s supervisory obligations.

By completing this document, the User acknowledges that the person(s) executing this document are authorized to do so and agree to comply with the MTP functionality that accompanies the execution of this attestation.

An executed version of this attestation can be delivered to the Exchange via email to MembershipServices@cboe.com.

User Name:	CRD #:
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Signature of Authorized Officer, Partner, Managing Member or Sole Proprietor	Date
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Printed Name	Title

Requested list of MPIDs or firm identifiers for which a Unique Identifier shall be created: