

Member/TPH Modification Form

MODIFICATION DOCUMENT – This form is to be completed by a current Member and/or Trading Permit/Privilege Holder (“TPH”) for the types of changes described below. Additional documentation may need to be submitted depending on the change. An executed version of this Form can be delivered via email to MembershipServices@cboe.com

GENERAL INFORMATION	
Firm Name:	
CRD Number:	NFA Number:
CONTACT	
Name:	Email:
Title:	Phone:

CBOE EXCHANGE, INC. (CBOE (C1) OPTIONS)							
BUSINESS ACTIVITY(IES)							
<input type="checkbox"/> Add <input type="checkbox"/> Remove	Floor Access: <input type="checkbox"/> Associated with Floor Broker <input type="checkbox"/> Market Maker						
ELECTRONIC ACCESS							
<input type="checkbox"/> Add <input type="checkbox"/> Remove	<input type="checkbox"/> Electronic Execution <input type="checkbox"/> Market Maker <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Order Service Firm <input type="checkbox"/> Transact Business w/the Public <input type="checkbox"/> Other-Specify: _____ <input type="checkbox"/> Clearing Firm: <input type="checkbox"/> RTH and/or <input type="checkbox"/> GTH						
<input type="checkbox"/> Add <input type="checkbox"/> Remove	<input type="checkbox"/> Electronic Execution <input type="checkbox"/> Market Maker <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Order Service Firm <input type="checkbox"/> Transact Business w/the Public <input type="checkbox"/> Other-Specify: _____ <input type="checkbox"/> Clearing Firm: <input type="checkbox"/> RTH and/or <input type="checkbox"/> GTH						
RESPONSIBLE PERSON(S)							
<p>The Responsible Person must be a United States based officer, director or management-level employee of the TPH, who is responsible for the direct supervision and control of Associated Persons of the TPH. Each Responsible Person must sign an Cboe Individual Consent to Jurisdiction and hold the appropriate qualification examinations and registrations [e.g., TP (Series 24)] on WebCRD. A Responsible Person for a Foreign TPH does not need to be U.S.-based but must be an individual registered in WebCRD.</p>							
<input type="checkbox"/> Add	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">Name:</td> <td style="width: 30%;">CRD #:</td> </tr> <tr> <td>Title:</td> <td>NFA ID:</td> </tr> <tr> <td>Phone:</td> <td>Email:</td> </tr> </table>	Name:	CRD #:	Title:	NFA ID:	Phone:	Email:
Name:	CRD #:						
Title:	NFA ID:						
Phone:	Email:						
<input type="checkbox"/> Remove							
<input type="checkbox"/> Add	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">Name:</td> <td style="width: 30%;">CRD #:</td> </tr> <tr> <td>Title:</td> <td>NFA ID:</td> </tr> <tr> <td>Phone:</td> <td>Email:</td> </tr> </table>	Name:	CRD #:	Title:	NFA ID:	Phone:	Email:
Name:	CRD #:						
Title:	NFA ID:						
Phone:	Email:						
<input type="checkbox"/> Remove							

CBOE C2 EXCHANGE, INC. (C2 OPTIONS)	
BUSINESS CAPACITY(IES)	
<input type="checkbox"/> Add <input type="checkbox"/> Remove	<input type="checkbox"/> Proprietary Trader <input type="checkbox"/> Broker <input type="checkbox"/> Clearing Participant <input type="checkbox"/> Market Maker <input type="checkbox"/> Transact Business w/the Public

<input type="checkbox"/> Add <input type="checkbox"/> Remove	<input type="checkbox"/> Proprietary Trader	<input type="checkbox"/> Broker	<input type="checkbox"/> Clearing Participant	<input type="checkbox"/> Market Maker
	<input type="checkbox"/> Transact Business w/the Public			
RESPONSIBLE PERSON(S)				
The Responsible Person must be a United States based officer, director or management-level employee of the TPH, who is responsible for the direct supervision and control of Associated Persons of the TPH. Each Responsible Person must sign an C2 Individual Consent to Jurisdiction and hold the appropriate qualification examinations and registrations [e.g., TP (Series 24)] on WebCRD.				
<input type="checkbox"/> Add	Name:			CRD #:
	Title:			NFA ID:
<input type="checkbox"/> Remove	Phone:	Email:		
<input type="checkbox"/> Add	Name:			CRD #:
	Title:			NFA ID:
<input type="checkbox"/> Remove	Phone:	Email:		

CBOE FUTURES EXCHANGE, LLC (CFE)				
BUSINESS ACTIVITY(IES)				
<input type="checkbox"/> Add <input type="checkbox"/> Remove	<input type="checkbox"/> Proprietary Trading Firm	<input type="checkbox"/> Brokerage Firm	<input type="checkbox"/> Clearing Firm	<input type="checkbox"/> Pool Manager
<input type="checkbox"/> Add <input type="checkbox"/> Remove	<input type="checkbox"/> Proprietary Trading Firm	<input type="checkbox"/> Brokerage Firm	<input type="checkbox"/> Clearing Firm	<input type="checkbox"/> Pool Manager
POOL MANAGER CHANGE				
Applicable to a Pooled Investment Vehicle - Identify the Pool Manager(s) - operator(s), investment manager(s) or investment advisor(s) of the Pool requiring an update.				
<input type="checkbox"/> Add <input type="checkbox"/> Remove	Name: _____			NFA #: _____
<input type="checkbox"/> Add <input type="checkbox"/> Remove	Name: _____			NFA #: _____
CHANGE TO EXECUTIVE OFFICER(S)				
Identify any changes to Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, Chief Compliance Officer, or any equivalent position. Each new officer must complete pages 9-12 of the Organization TPH Application .				
<input type="checkbox"/> Add	Name:		CRD #:	NFA #:
	Title:			
<input type="checkbox"/> Remove	Phone:	Email:		
<input type="checkbox"/> Add	Name:		CRD #:	NFA #:
	Title:			
<input type="checkbox"/> Remove	Phone:	Email:		
<input type="checkbox"/> Add	Name:		CRD #:	NFA #:
	Title:			
<input type="checkbox"/> Remove	Phone:	Email:		

<input type="checkbox"/> Add	Name:	CRD #:	NFA #:
	Title:		
<input type="checkbox"/> Remove	Phone:	Email:	

CLEARING CHANGE(S)

BZX BYX EDGA EDGX BZX OPTIONS EDGX OPTIONS CBOE OPTIONS C2 CFE

MPID/EFID	CURRENT CLEARING #	CHANGE TO CLEARING #	NEW CLEARING GUARANTEE ON FILE?	EFFECTIVE DATE (FIRST TRADE)
			<input type="checkbox"/> YES <input type="checkbox"/> NO*	
			<input type="checkbox"/> YES <input type="checkbox"/> NO*	
			<input type="checkbox"/> YES <input type="checkbox"/> NO*	
			<input type="checkbox"/> YES <input type="checkbox"/> NO*	
			<input type="checkbox"/> YES <input type="checkbox"/> NO*	

*= a current clearing guarantee is required for all applicable exchanges before a clearing change can be processed

Signature of Authorized Officer, Partner or Managing Member

Printed Name

Title

Date

GENERAL INFORMATION

Firm Name:

CONTACT

Name:

Email:

Title:

Phone:

Does your firm have an active Account Administrator? Yes* No

* = Active Account Administrators have the ability to add/remove/edit Account Administrators or permission other access

ADD/REMOVE ACCOUNT ADMINISTRATOR(S)

Add
 Remove

Name:

Phone:

Email:

Add
 Remove

Name:

Phone:

Email:

Add
 Remove

Name:

Phone:

Email:

Signature of Authorized Officer, Partner or Managing Member

Printed Name

Title

Date