

Cboe Exchange, Inc.

TPH Modification Form

This form is to be completed by a current Trading Permit 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:	
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)			
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.			
<div style="display: flex; justify-content: space-between;"> <div style="width: 15%;"> <input type="checkbox"/> Add <input type="checkbox"/> Remove </div> <div style="width: 60%;"> Name: _____ Title: _____ Phone: _____ Email: _____ </div> <div style="width: 20%;"> CRD #: NFA ID: </div> </div>			
<div style="display: flex; justify-content: space-between;"> <div style="width: 15%;"> <input type="checkbox"/> Add <input type="checkbox"/> Remove </div> <div style="width: 60%;"> Name: _____ Title: _____ Phone: _____ Email: _____ </div> <div style="width: 20%;"> CRD #: NFA ID: </div> </div>			

Signature of Authorized Officer, Partner, or Managing Member of Applicant

Date

Printed Name

Title