

## Cboe C2 Exchange, Inc. Election Form for a Cboe Exchange, Inc. TPH Organization

Any Cboe Exchange, Inc. Trading Permit Holder (“TPH”) in good standing is eligible to receive a trading permit with Cboe C2 Exchange, Inc. (“C2 Options”). An applicant must complete and submit all materials listed on the Election Form Checklist below via email to [MembershipServices@cboe.com](mailto:MembershipServices@cboe.com).

Applicants are required to answer **every** question and provide the requested information in each field. Applicants may answer not applicable (“N/A”) where appropriate. For all areas requesting a CRD #, Applicants are required to provide an ID number or mark N/A. Applicants are required to update any information submitted in this election form when and if it becomes inaccurate or incomplete while this election form is pending.

### ELECTION FORM CHECKLIST

#### Items required for election form approval:

- ☐ Election Form for a Cboe Exchange, Inc. TPH Organization
- ☐ Individual Consent to Jurisdiction for each Responsible Person, and Direct Owner, Control Person or Executive Officer named on Schedule A of Form BD (available [here](#))
- ☐ Fingerprints for each Responsible Person if not a current Associated Person, Nominee or Cboe Responsible Person with the same TPH.
- ☐ Organization Consent to Jurisdiction for each Entity named on Schedule A of Form BD (available [here](#))
- ☐ IRS Form [W-9](#) or [W-8](#)
- ☐ Confirmation of OCC approval – applicable to clearing applicants only
- ☐ Responsible Person fee, if applicable

Please refer to the ‘Application Related Fees’ section of the [C2 Options Fee Schedule](#) for current pricing information. Applicant is responsible for all wire transfer fees assessed by Applicant’s bank. All application fees are non-refundable.

#### Items required to become effective:

- ☐ Trading Permit Holder Letter of Guarantee – applicable to non-clearing applicants (available [here](#))
- ☐ Clearing Participant Letter of Guarantee – applicable to clearing applicants (available [here](#))
- ☐ Confirmation of OCC activation – applicable to clearing applicants only
- ☐ TPH Activation / Termination Form (available [here](#))

Note: All materials sent to C2 Options will be reviewed for completeness.

C2 Options may request applicants to submit documentation in addition to what is listed in the Election Form Checklist during the review process. If you have questions on completing the election form, you may direct them to Membership Services at [MembershipServices@cboe.com](mailto:MembershipServices@cboe.com) or 913.815.7002. In addition, please refer to C2 Options’ website at [www.cboe.com](http://www.cboe.com) for additional information regarding the approval process.

**Cboe C2 Exchange, Inc.**  
**Election Form for a Cboe Exchange, Inc. TPH Organization**

GENERAL INFORMATION			
Name of Applicant:			
Tax ID #:	CRD #:	SEC #: 8-	
Address of Principal Office:			
City:	State:	Zip:	
Address of Billing Office:			
City:	State:	Zip:	
BUSINESS CONTACT		BILLING CONTACT	
Name:	Name:		
Title:	Title:		
CRD #:	CRD #:		
Email:	Email:		
Phone:	Phone:		
COMPLIANCE CONTACT		REGULATORY CONTACT	
Name:	Name:		
Title:	Title:		
CRD #:	CRD #:		
Email:	Email:		
Phone:	Phone:		
TRADING CONTACT		TECHNICAL CONTACT	
Name:	Name:		
Title:	Title:		
CRD #:	CRD #:		
Email:	Email:		
Phone:	Phone:		
CAPACITY IN WHICH THE APPLICANT SEEKS TO ACT ON C2 OPTIONS (check all that apply)			
Electronic Access permit required for:			
<input type="checkbox"/> Proprietary Trader <input type="checkbox"/> Broker <input type="checkbox"/> Clearing Participant <input type="checkbox"/> Transact Business with the Public*			
Market Maker permit required for:			
<input type="checkbox"/> Market Maker			
*A <a href="#">Trading Permit Holder Organization Application to Transact Business with the Public</a> is required and should be submitted in conjunction with this Election Form.			
DESIGNATED CLEARING FIRM			
Identify the Clearing Participant issuing the guarantee for the Applicant's activity on C2 Options:			
Name: _____		OCC #: _____	

## RESPONSIBLE PERSONS

A TPH must designate at least one individual (Responsible Person) as its administrator for the organization's use of the system and as a contact person to represent the organization with respect to matters relating to C2 Options. 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 [Individual Consent to Jurisdiction](#) and hold the appropriate qualification examination and registration (i.e. Series 57, 24 / TD, TP) on WebCRD®.

Name:	CRD #:
Title:	
Phone:	Email:

Name:	CRD #:
Title:	
Phone:	Email:

### Organization Consent to Jurisdiction and Certifications

The undersigned represents that the information and statements in this election form or supplements to this election form may be verified by investigation and hereby declares that they are true complete and accurate.

By executing this election form, the undersigned agrees on behalf of the organization and its related parties as follows:

To abide by the rules of Cboe C2 Exchange, Inc. ("C2 Options") as they shall be in effect from time to time.

The organization authorizes any governmental agency, national securities exchange, national securities association, commodities exchange or other entity to furnish to C2 Options, upon its request, any information they may have concerning the organization and the organization hereby releases each such entity from any and all liability of whatsoever nature by reason of furnishing such information to C2 Options.

The organization authorizes C2 Options to make available to any governmental agency, national securities exchange, national securities association, commodities exchange or other entity (upon such entity's showing of proper authority and need) any information C2 Options may have concerning the organization and the organization hereby releases C2 Options from any and all liability of whatsoever nature by reason of furnishing such information.

The organization certifies that all associated persons required to be fingerprinted have been fingerprinted and the organization affirms that it is not associated with a person subject to a statutory disqualification, unless any such individual's association is otherwise appropriately approved by an SRO.

The organization agrees to promptly update its election form materials if any of the information provided in those materials become inaccurate or incomplete after the date of submission of its election form to C2 Options and prior to any approval of the election form.

The organization recognizes that the statements in the election form materials furnished to C2 Options may be verified by investigation and hereby declares that they are true, complete and accurate.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title