

## Cboe C2 Exchange, Inc.

### Trading Permit Holder Organization Application to Transact Business with the Public

Any currently approved Trading Permit Holder (“TPH”) Organization of Cboe C2 Exchange, Inc. (“C2 Options”) is eligible to transact business with the public provided that C2 Options specifically approves the TPH to transact business with the public. To qualify, a TPH Organization must complete and submit all materials listed on the Application Checklist below via email to [registration@cboe.com](mailto:registration@cboe.com) or mail to:

Cboe C2 Exchange, Inc.  
Attn: Registration Services  
400 S. LaSalle Street, 6<sup>th</sup> Floor  
Chicago, IL 60605

Applicants are required to update any information submitted in this application when and if it becomes inaccurate or incomplete while this application is pending.

#### APPLICATION CHECKLIST

**Items required from all applicants:**

- Trading Permit Holder Organization Application to Transact Business with the Public
- List of registered options principals and registered representatives qualified for options trading
- Copy of Organization’s options written supervisory procedures
- Copy of the most recent net capital computation
- Balance sheet
- Income statement
- Copy of the most recent annual audited report, *if applicable*
- Description of the Organization’s Brokers’ Blanket Bond arrangement

**Additional Items required for an Introducing Firm and/or a Clearing Participant:**

- List of branch office locations and branch office managers
- Copy of the method utilized for the allocation of exercise notices as sent to customers if not included in the customer options agreement
- Blank copies of:
  - Customer information form
  - Options agreement
  - Discretionary trading authorization
  - New account form
  - Fully disclosed and/or omnibus trading agreements
  - Transaction confirmation and account statement
  - Special risk disclosure document for uncovered options

**Additional Items required for a Firm conducting an execution business of orders received directly from non-broker-dealers:**

- Copy of execution/clearing agreement with customer and clearing participant that customer account clears with
- Order entry procedures

Note: All application 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 Application Checklist during the application review process. If you have questions on completing the application, you may direct them to Membership Services at [registration@cboe.com](mailto:registration@cboe.com) or 312.786.7449. In addition, please refer to C2 Options’ website at <http://markets.cboe.com> for additional information regarding the approval process.

## Cboe C2 Exchange, Inc.

### Trading Permit Holder Organization Application to Transact Business with the Public

GENERAL INFORMATION				
Name of Permit Holder Organization:				
Tax ID #:	CRD #:	SEC #: 8-		
Address of Principal Office:				
City:	State:	Zip:		
APPLICATION TYPE				
Applying as:				
<input type="checkbox"/> Introducing Firm and/or Clearing Participant				
<input type="checkbox"/> Firm conducting an executing business of order received directly from non-broker-dealers				
TYPE OF ORGANIZATION				
<input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Partnership <input type="checkbox"/> Other – Specify: _____				
Organized under the laws of: _____				
NATIONAL SECURITIES EXCHANGE OR ASSOCIATION (check all that apply)				
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding: 5px;"> <input type="checkbox"/> BOX Options Exchange, LLC  <input type="checkbox"/> Cboe BZX Exchange, Inc.  <input type="checkbox"/> Cboe BYX Exchange, Inc.  <input type="checkbox"/> Cboe C2 Exchange, Inc.  <input type="checkbox"/> Cboe EDGA Exchange, Inc.  <input type="checkbox"/> Cboe EDGX Exchange, Inc.  <input type="checkbox"/> Cboe Exchange, Inc.  <input type="checkbox"/> Chicago Stock Exchange, Inc.  <input type="checkbox"/> Financial Industry Regulatory Authority  <input type="checkbox"/> International Securities Exchange, LLC  <input type="checkbox"/> ISE Gemini, LLC                             </td> <td style="width: 50%; vertical-align: top; padding: 5px;"> <input type="checkbox"/> ISE Mercury, LLC  <input type="checkbox"/> Investors Exchange, LLC  <input type="checkbox"/> Miami International Securities Exchange, LLC  <input type="checkbox"/> MIAX PEARL, LLC  <input type="checkbox"/> NASDAQ Stock Market, LLC  <input type="checkbox"/> NASDAQ OMX BX, Inc.  <input type="checkbox"/> NASDAQ OMX PHLX, LLC  <input type="checkbox"/> New York Stock Exchange, LLC  <input type="checkbox"/> NYSE American, LLC  <input type="checkbox"/> NYSE Arca, Inc.  <input type="checkbox"/> NYSE National, Inc.  <input type="checkbox"/> Other _____                             </td> </tr> </table>			<input type="checkbox"/> BOX Options Exchange, LLC <input type="checkbox"/> Cboe BZX Exchange, Inc. <input type="checkbox"/> Cboe BYX Exchange, Inc. <input type="checkbox"/> Cboe C2 Exchange, Inc. <input type="checkbox"/> Cboe EDGA Exchange, Inc. <input type="checkbox"/> Cboe EDGX Exchange, Inc. <input type="checkbox"/> Cboe Exchange, Inc. <input type="checkbox"/> Chicago Stock Exchange, Inc. <input type="checkbox"/> Financial Industry Regulatory Authority <input type="checkbox"/> International Securities Exchange, LLC <input type="checkbox"/> ISE Gemini, LLC	<input type="checkbox"/> ISE Mercury, LLC <input type="checkbox"/> Investors Exchange, LLC <input type="checkbox"/> Miami International Securities Exchange, LLC <input type="checkbox"/> MIAX PEARL, LLC <input type="checkbox"/> NASDAQ Stock Market, LLC <input type="checkbox"/> NASDAQ OMX BX, Inc. <input type="checkbox"/> NASDAQ OMX PHLX, LLC <input type="checkbox"/> New York Stock Exchange, LLC <input type="checkbox"/> NYSE American, LLC <input type="checkbox"/> NYSE Arca, Inc. <input type="checkbox"/> NYSE National, Inc. <input type="checkbox"/> Other _____
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Name of Applicant's Designated Examining Authority (DEA): _____				

CERTIFIED PUBLIC ACCOUNTANT		
Name of Organization's Certified Public Accountant:		
Address:		
City:	State:	Zip Code:

**OPTIONS PRINCIPALS**

State the name, title and contact information of the person(s) engaged in the management of the Organization's business pertaining to options and who must therefore qualify with C2 Options as a registered Options Principal. The Organization's Financial and Operations Principal (FINOP) must be included below.

Name:	CRD #:
Title:	
Phone:	Email:

Name:	CRD #:
Title:	
Phone:	Email:

Name:	CRD #:
Title:	
Phone:	Email:

The undersigned recognizes that the statements herein (and in every supplementary sheet attached hereto) will 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