

## Participant Application Form

Please complete and return this Participant Application Form (the “**Application Form**”) if your firm (the “**Applicant**”) wishes to apply to become a trading participant of the Cboe Europe Markets.

With the Participation Application, the Applicant can choose to become a trading participant of Cboe Europe Limited (“**Cboe UK**”) or Cboe Europe B.V. (“**Cboe NL**”) or both (collectively “**Cboe**”).

The Applicant is required to provide Cboe with the information below which is necessary for Cboe to process the application (the “**Participation Application**”).

The Participation Application will be processed by Cboe UK and/or Cboe NL, as relevant, in accordance with the procedures set out in the Cboe Participant Manual and Rule Book (collectively, the “Cboe Rules”), electronic copies of which are available at <https://markets.cboe.com/europe/equities/support/>.

Cboe reserves the right to require additional information or supporting documents in order to determine Participation Applications.

For existing Participants, where any of the information provided in the Application Form originally submitted needs to be updated, please submit only the relevant sections with the updated information at the email address provided in the “Return of the Form” section at the bottom of the Application Form.

### SECTION 1 - Applicant’s Information

#### 1.1 - Please provide the information below:

Name of Applicant, Including Trading Name If Used	
Type of Entity (Limited Liability Company, Limited Liability Partnership, etc.)	
Jurisdiction of Incorporation or Registration	
Year of Incorporation or Registration	
Legal Entity Identifier (L.E.I.)	
VAT number	

Registered Office Address and Registration Number or Equivalent	
Business Office Address (If Different From Registered Office)	
Main Office Telephone Number	
Website Address (If Applicable)	
Main Email Address	

1.2 - Please indicate which Cboe venues your firm will require access to:

Venue <sup>1</sup>	Required (Tick Box)
Cboe UK Equities	<input type="checkbox"/>
Cboe NL Equities	<input type="checkbox"/>
Cboe NL Derivatives	<input type="checkbox"/>

1.3 - Please provide the details below for contacts at the Applicant:

If you are applying for both Cboe UK and Cboe NL, and/or Equities and Derivatives products, please complete for each of the venues and for each of the products, as appropriate.

Business Contact	
Name	
Title	
Email	
Telephone Number	

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<sup>1</sup> The markets accessible on each of the Cboe venues are set out in Section 6 below.

Compliance Contact	
Name	
Title	
Email	
Telephone Number	

Technical Operations Contact	
Name	
Title	
Email	
Telephone Number	

Legal Contact	
Name	
Title	
Email	
Telephone Number	

Billing Contact	
Name	
Title	
Email	
Telephone Number	

The person(s) mentioned below will have authority to request certain changes to the Applicants' trading profile e.g. a mass order delete, trade cancellations. Cboe will only accept requests for changes from the person(s) named below. The onus is on the Applicant to keep Cboe informed of any changes to this list. If you are applying for both Cboe UK and Cboe NL, and/or Equities and Derivatives products, please specify for each of the venues and for each of the products, as appropriate, the person(s) will have authority to request such changes.

*Note: All authorised signatories are able to request changes to all order books.*

Trading Profile Contacts			
Name	Title	Email	Telephone Number

#### 1.4 - Technology implementation

Please confirm whether you have any group Affiliates who are already a Participant of Cboe UK and/or Cboe NL. If so please confirm the details below.

Name of group Affiliate	Address	Cboe venue		Product	
		UK	EU	Equities	Derivatives
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you have completed the information of group Affiliates above, please tick the box below if you intend to deploy the same IT systems and controls as the ones deployed by one of your group Affiliate, and therefore you will not need to certify your IT systems and controls with Cboe UK and/or Cboe NL, as appropriate, prior to going live. If you tick the box, please indicate the name of your group Affiliate.

Name of Group Affiliate	Cboe Venue		Product	
	UK <input type="checkbox"/>	EU <input type="checkbox"/>	Equities <input type="checkbox"/>	Derivatives <input type="checkbox"/>

## SECTION 2 - Branch Offices of Applicant

Does the Applicant have any additional branch offices in the UK/EEA states that will be accessing the Cboe Markets?

- ☐ Yes  
☐ No

If “Yes”, please provide the same information as required in section 1 of this form for each branch office that will be accessing the Cboe Markets.

## SECTION 3 - Regulatory Status of Applicant

3.1 - Please select whichever of the following two options applies to the Applicant:

- 3.1.1. The Applicant is authorised by the FCA/an EEA regulator, as applicable, to carry on business as an investment firm or credit institution; or
- 3.1.2. The Applicant is not authorised by the FCA/an EEA regulator, as applicable, to carry on business as an investment firm or credit institution. This will require Cboe to satisfy itself that the relevant regulatory requirements for such Applicants are met. Cboe will request further information from such Applicants.

- ☐ 3.1.1 applies  
☐ 3.1.2 applies

If 3.1.1 applies, please complete all remaining sections of this form.

If 3.1.2 applies, please disregard section 4 of this form and then proceed to complete the rest of the form.

## SECTION 4- Applicants Authorised by the FCA/an EEA Regulator, as applicable

4.1 - Please indicate which regulator the Applicant is authorised by.

Name	
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4.2 - Please provide a link to a website maintained by the FCA/the EEA regulator above, as applicable, confirming the Applicant’s authorisation. If the regulator does not maintain a list of authorised firms on its website, please provide other evidence provided by such regulator confirming the Applicant’s authorisation.

Website	
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## SECTION 5 - Compliance and Competence

5.1 - Please confirm the below statements (tick as appropriate):

All individuals of the Applicant who will be using the Cboe Markets are familiar with the operation of the Cboe Markets	<input type="checkbox"/> Confirmed
All individuals of the Applicant who will be using the Cboe Markets are competent or adequately supervised	<input type="checkbox"/> Confirmed
All individuals of the Applicant who will be using the Cboe Markets are familiar with and will comply with the Cboe Rules and procedures	<input type="checkbox"/> Confirmed

5.2 - Please give examples of the measures the Applicant has in place to prevent disorderly trading:

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5.3 - The Applicant certifies that any algorithms they have deployed have been tested to avoid contributing to or creating disorderly trading conditions:

- ☐ Yes
- ☐ No
- ☐ Legal entity does not use algorithms

## SECTION 6 - Access to Markets

6.1 - Please detail in the table below the trading participant BIC code, the name of the clearer and the Central Counterparty (CCP) (only in case of Equities products are selected) for each market for which access is required (where applicable)<sup>2</sup>. The CCPs which are currently available are:

- EuroCCPNV (for both equity and derivative products)
- LCH.Clearnet Ltd (for equity products only)
- LCH.Clearnet SA (for equity products only)
- SIX x-clear AG (for equity products only)

<b>Cboe UK</b>				
Product	ACCESS REQUIRED (Tick Box)	TRADING BIC	CLEARING MEMBER	CCP
Equities	<input type="checkbox"/>			
<b>Cboe NL</b>				
Equities	<input type="checkbox"/>			
Derivatives	<input type="checkbox"/>			EuroCCP N.V.

The Applicant may change the Markets to which it has access by providing an updated copy of the above table. This must be received by Cboe (Participant Services) by 4pm on the trading day prior to the trading day on which the change is required.

## SECTION 7 - Cancel on Disconnect

7.1 - Does the Applicant wish open orders to be automatically cancelled in the event that their connection to Cboe is lost?

Cboe Venue	Access Required
UK Equities	<input type="checkbox"/>
NL Equities	<input type="checkbox"/>
NL Derivatives	<input type="checkbox"/>

<sup>2</sup> Where applicable – for Participants using the Cboe ETR service for on-exchange trade reporting only, clearing authority from a CCP and clearing member may not be required.

## SECTION 8 - Financial Statements

Please provide an internet address from which the most recent Financial Statements of the Applicant can be obtained. Alternatively please attach a copy of the Financial Statements to this Application Form.

## SECTION 9 - Named Affiliates

Please provide a copy of your firms' group structure. Please list all the Affiliates the Applicant intends to elect to be covered under this Application Form and corresponding Participant Agreement:

## SECTION 10 - Publicity Consent

Do you consent to the inclusion of the Applicant firm's name and logo on the Trading Participant page of the Cboe Website? If yes, provide a high resolution .jpeg or .eps format logo.

- ☐ Yes  
☐ No

## DECLARATION

The Applicant hereby confirms:

- (i) the accuracy and completeness of the information provided in this application Form and undertakes to advise Cboe of any changes to the information provided; and
- (ii) that it has read and understood the Participant Agreement Standard Terms & Conditions for Cboe UK and Cboe NL, as applicable and as amended from time to time, available on the website <https://markets.cboe.com/europe/equities/support/> (the "Participant Terms"). All relevant staff at the Applicant have read and understood the



Cboe Rules. All new staff at the Applicant who access the Cboe Markets and/or have compliance, surveillance and regulatory functions will also be made aware of the Cboe Rules and will be required to comply with their provisions. In completing, executing and submitting this Application Form the Applicant agrees that, if it is approved by Cboe, the Applicant shall comply with and be bound by the Participant Terms and Cboe Rules.

Signed on behalf of the Applicant by a Director authorised to do so by resolution of the Applicant's Board of Directors (or the equivalent for other legal entities):

Name (PRINTED)

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Title

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Date

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Signature

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## RETURN OF THE FORM

Please return the completed Application Form, or relevant sections, as appropriate, in electronic format to: [ParticipantServicesEurope@cboe.com](mailto:ParticipantServicesEurope@cboe.com)

Originals may be sent to:

**Cboe Europe Limited**

The Monument Building,  
11 Monument Street, 5<sup>th</sup> Floor,  
London, EC3R 8AF, UK

or

**Cboe Europe B.V.**

Symphony Offices  
Gustav Mahlerplein 77  
1082 MS Amsterdam, The Netherlands

The Application Form will be processed by Cboe UK and/or Cboe NL as appropriate.

For any queries, please contact our Participant Services at [ParticipantServicesEurope@cboe.com](mailto:ParticipantServicesEurope@cboe.com) or +44 20 7012 8927.