

**CBOE FUTURES EXCHANGE, LLC
INDIVIDUAL SOLE PROPRIETOR
TRADING PRIVILEGE HOLDER APPLICATION
(FOR NON-CBOE MEMBERS)**

1. Name: _____ Social Security #: _____

2. Are you legally authorized to work in the United States? Yes No Date of Birth _____
(Please provide a copy of appropriate documentation evidencing your authorization to work in the United States. This may include a copy of a U.S. Social Security Card, a U.S. birth certificate, an unexpired or expired U.S. passport, or other eligible document listed on U.S. Immigration and Naturalization Service Form I-9.)

3. Mailing Address: _____

City: _____ State: _____ Zip Code: _____ Phone: _____

4. E-mail Address: _____

5. Number of trading permits (each permit is allocated one login to CBOE*direct*) requested: _____

6. As a Sole Proprietor I intend to use my trading privilege as a:
 Proprietary Trader (NFA registration not required)
 Executing Broker
 Registered as a Floor Broker: NFA ID #: _____
 NFA registration is pending

7. Identify the CFE clearing firm issuing the guarantee for your activity on CFE:
Name: _____ OCC #: _____

8. Are you a member of any national securities exchange, national securities association, or commodities exchange? _____
If yes, identify: _____

9. Financial Information:
ASSETS:
Savings, checking and investments: \$ _____
Real Estate (Fair Market Value) _____
Other (describe): _____
TOTAL ASSETS \$ _____
LIABILITIES
Mortgage: \$ _____
Credit Cards: _____
Student Loans: _____
Other (describe): _____
TOTAL LIABILITIES \$ _____
NET WORTH \$ _____

10. Have you or has any entity of which you were a principal (based on activities that occurred while you were a principal), ever pled guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any domestic, foreign or military court? Yes No
11. Have you or has any entity of which you were a principal (based on activities that occurred while you were a principal), ever pled guilty to or been convicted or found guilty of any misdemeanor in any domestic, foreign or military court which involves:
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property;
 - violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986;
 - violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code; or
 - any transaction in or advice concerning futures, options on futures, leverage transactions or securities? Yes No
12. In any case brought by a domestic or foreign governmental body, have you or has any entity of which you were a principal (based on activities that occurred while you were a principal) ever been permanently or temporarily enjoined, either after a hearing or in a settlement, from engaging in or continuing any activity involving:
- any transaction in or advice concerning futures, options on futures, leverage transactions or securities; or
 - embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property? Yes No
13. In any case brought by a domestic or foreign governmental body, have you or has any entity of which you were a principal (based on activities that occurred while you were a principal) ever been found, either after a hearing or in a settlement, to:
- have violated any provision of an investment-related statute or regulation; or
 - have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
 - have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person?
 Yes No
14. Have you or has any entity of which you were a principal (based on activities that occurred while you were a principal) ever been debarred by an agency of the United States from contracting with the United States? Yes No
15. Have you or has any entity of which you were a principal (based on activities that occurred while you were a principal) ever been the subject of any order issued by a domestic or foreign regulatory authority or self-regulatory organization that prevented or restricted your ability to engage in any business in the financial services industry? Yes No
16. Are any of the orders described in Question 15 currently in effect against you? Yes No
17. Are you a party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the previous questions? Yes No

If your response is “Yes” to any of Questions 10 through 17, please describe below and provide supporting documentation:

CONSENT TO JURISDICTION

The undersigned individual hereby agrees on behalf of himself/herself and his/her Related Parties to abide by the rules of the CBOE Futures Exchange, LLC (CFE) as they shall be in effect from time to time.

AUTHORIZATIONS

I authorize any governmental agency, futures exchange, securities exchange, national securities association, national futures association and all my former employers and other persons to furnish to CFE, upon its request, any information they may have concerning my character, ability, business activities, reputation and employment history, and I hereby release each such person from any and all liability of whatsoever nature by reason of furnishing such information to CFE.

I authorize CFE to make available to any governmental agency, futures exchange, securities exchange, national securities association, national futures association or other entity (upon such entity's showing of proper authority and need) any information CFE may have concerning me, and I hereby release CFE from any and all liability of whatsoever nature by reason of furnishing such information.

I acknowledge and agree that under the Fair Credit Reporting Act CFE may procure or cause to be prepared an investigative consumer report on me, including, without limitation, information as to my character, general reputation, personal characteristics, employment, clearing firm, finances, financial litigation, mode of living, and credit reports, as applicable. A copy of the Federal Trade Commission's "Summary of Your Rights under the Fair Credit Reporting Act" is available from CFE upon request.

I recognize that the statements in the application materials I furnish CFE may be verified by investigation, and hereby declare that they are true, complete and accurate.

Signature of Applicant: _____ Date: _____