

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

1. Name: _____ Tax ID #: _____ - _____

- Corporation (State of incorporation _____)
- Partnership (State of registration _____)
- Limited Liability Company (LLC) (State of registration _____)

Current articles of incorporation and bylaws, partnership agreement and registration certificate, or LLC operating agreement and registration certificate must be submitted with this application.

2. Mailing Address: _____

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

3. Designate at least one employee or agent (Responsible Trader) as your administrator for the use of the CBOE System by the Trading Privilege Holder (including its Authorized Traders).

Name	Phone	E-mail Address
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Name	Phone	E-mail Address
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4. Number of trading permits (each permit is allocated one login to CBOE*direct*) requested: _____

5. We intend to use our trading privilege as a:

- Proprietary Trading Firm Clearing Firm Retail Brokerage Firm Executing Brokerage Firm

6. Does the organization have any current or pending registration with the NFA in any of the following registrations categories?

	Current Registration	Pending Registration
Futures Commission Merchant	NFA ID#: _____	<input type="checkbox"/>
Introducing Broker	NFA ID#: _____	<input type="checkbox"/>
Commodity Pool Operator	NFA ID#: _____	<input type="checkbox"/>
Commodity Trading Advisor	NFA ID#: _____	<input type="checkbox"/>

7. Identify the CFE clearing firm issuing the guarantee for the organization's activity on CFE:

Name: _____ OCC #: _____

8. Is the organization a member of any national securities exchange, national securities association, or commodities exchange? _____ If yes, identify: _____

9. The following individuals are executive officers of the organization.

Name: _____ Chief Executive Officer

Phone #: _____ E-Mail: _____

Name: _____ Chief Operating Officer

Phone #: _____ E-Mail: _____

Name: _____ Chief Financial Officer

Phone #: _____ E-Mail: _____

Name: _____ Chief Compliance Officer

Phone #: _____ E-Mail: _____

10. Does any person or entity have a 10% or greater interest in the organization? Yes No
If yes, please provide the name(s), address(es), contact name(s) for an entity, telephone number(s) and percentage of ownership interest on a separate page.

11. As of our most recent month-end, the Net Worth of the organization is: \$ _____
A copy of the organization's most recent certified financial statement must accompany this application.

12. Has the organization or any person affiliated with the organization 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

13. Has the organization or any person affiliated with the organization 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

14. In any case brought by a domestic or foreign governmental body, has the organization or any person affiliated with the organization 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

15. In any case brought by a domestic or foreign governmental body, has the organization or any person affiliated with the organization 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

16. Has the organization or any person affiliated with the organization ever been debarred by an agency of the United States from contracting with the United States? Yes No

- 17. Has the organization or any person affiliated with the organization ever been the subject of any order issued by a domestic or foreign regulatory authority or self-regulatory organization that prevented or restricted the organization's ability to engage in any business in the financial services industry? Yes No
- 18. Are any of the orders described in Question 17 currently in effect against the organization or any person affiliated with the organization? Yes No
- 19. Is the organization or any person affiliated with the organization 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 12 through 19, please describe below and provide supporting documentation:

CONSENT TO JURISDICTION

The organization hereby agrees on behalf of itself and its 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

The organization authorizes any governmental agency, futures exchange, securities exchange, national securities association, national futures association or other entity to furnish to CFE, 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 CFE.

The organization authorizes 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 the organization, and the organization hereby releases CFE from any and all liability of whatsoever nature by reason of furnishing such information

The organization recognizes that the statements in the application materials furnished to CFE may be verified by investigation, and hereby declare that they are true, complete and accurate.

Signature of Authorized Representative: _____

Authorized Representative's Name: _____

Authorized Representative's Title: _____ Date: _____