

**Cboe Futures Exchange, LLC
Individual Sole Proprietor
Trading Privilege Holder Application**

**The appropriate fees and paperwork must accompany this application.
All Application Fees are Non-Refundable.**

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 documentation evidencing your authorization to work in the United States. This may include a copy of an unexpired or expired U.S. passport or copies of a driver's license along with either a U.S. Social Security Card or a U.S. birth certificate, or other eligible documents listed on Form I-9, Employment Eligibility Verification, provided by the Department of Homeland Security. If you are not legally authorized to work in the United States, provide a copy of the passport from your country of citizenship. (Not required for an individual who is a current Cboe Options Trading Permit Holder)

3. Mailing Address: _____

City: _____ State/Province: _____ Zip/Mail Code: _____ Country: _____

4. Telephone: Business _____ Mobile _____

5. Business E-mail Address: _____

6. Number of trading permits requested: Order Entry _____ and/or Quoting and Order Entry _____

7. As a Sole Proprietor I intend to use my trading privilege as a:

Proprietary Trader

Market Maker (Security Futures Market Maker & Dealer Registration Form must be attached)

Executing Broker

Registered as a Floor Broker: NFA ID #: _____

NFA registration is pending

8. Identify the CFE clearing firm issuing the guarantee for your activity on CFE:

Name: _____ OCC #: _____

9. Are you a member of any national securities exchange, national securities association, futures exchange or registered futures association? Yes No

If yes, identify: _____

10. Do you plan to connect to the CBOE System (including any communications hub administered by or on behalf of the Exchange) from any country other than the United States? Yes No

If yes, identify the country (ies): _____

11. If you identified any foreign country in your response to Question 10, are you availing yourself of any exemption(s) from registration with a regulatory agency or body (or other basis for not having such a registration) in that country or jurisdiction? Yes No
If yes, please describe: _____

Pages 17-22 of National Futures Association Form 8-R must also be completed for informational purposes in connection with this Application and must accompany this Application. <http://www.nfa.futures.org/NFA-registration/templates-and-forms/8rFormentire.pdf>

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, registered 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, registered 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. The Federal Trade Commission’s “Summary of Your Rights under the Fair Credit Reporting Act” is available at: <https://www.consumer.ftc.gov/articles/pdf-0096-fair-credit-reporting-act.pdf>.

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: _____