

**ORGANIZATION TRADING PRIVILEGE HOLDER APPLICATION****The appropriate fees and paperwork must accompany this application.****ALL APPLICATION FEES ARE NON-REFUNDABLE**

1. Name: \_\_\_\_\_ Tax ID #: \_\_\_\_ - \_\_\_\_\_

- Corporation (Organized under the laws of \_\_\_\_\_)
- Partnership (Organized under the laws of \_\_\_\_\_)
- Limited Liability Company (LLC) (Organized under the laws of \_\_\_\_\_)
- Other (specify type of entity: \_\_\_\_\_) (Organized under the laws of \_\_\_\_\_)

Non-CBOE Trading Permit Holder must submit current certificate of incorporation and bylaws, partnership agreement and registration certificate, or LLC operating agreement and registration certificate (or equivalent documents) with this application.

If this application is for one or more pooled investment vehicle(s) (a Pool) and its operator, investment manager, or investment advisor of one of more Pools (a Pool Manager), the Pool Manager should complete this application and each Pool should complete the Pooled Investment Vehicle Appendix to Organization Trading Privilege Holder Application (Pool Appendix). If a Pool has more than one Pool Manager, each Pool Manager should complete this application. If a Pool Manager has already been approved, each new Pool should complete the Pool Appendix and the Pool Manager does not need to complete 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.

Name	Phone	E-mail Address
_____	_____	_____
_____	_____	_____

Name	Phone	E-mail Address
_____	_____	_____
_____	_____	_____

Pages 12-21 of National Futures Association Form 8-R must also be completed by each Responsible Trader for informational purposes in connection with this Application and must accompany this Application.

4. Number of trading permits: Order Entry \_\_\_\_\_ and/or Quoting and Order Entry \_\_\_\_\_

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

- Proprietary Trading Firm     Clearing Firm     Retail Brokerage Firm     Executing Brokerage Firm
- Market Maker (Security Futures Market Maker & Dealer Registration Form must be attached)
- Pool Manager/Pooled Investment Vehicle

6. Does the organization have any current or pending registration with the National Futures Association (NFA) in any of the following registration categories and is the organization registered or listed with any other domestic or foreign regulatory agency or body?

	<b>Current Registration</b>	<b>Pending Registration</b>
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"/>

Other Domestic or Foreign Registrations or Listings (For each registration or listing, please list the regulatory agency or body, registration capacity, and registration number): \_\_\_\_\_  
\_\_\_\_\_

Identify the organization's Designated Self-Regulatory Organization (DSRO) (if applicable): \_\_\_\_\_  
\_\_\_\_\_

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, futures exchange, or registered futures association?  Yes  No If yes, identify: \_\_\_\_\_

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

Name: \_\_\_\_\_ Chief Executive Officer (or equivalent position)

Title (if different from Chief Executive Officer): \_\_\_\_\_

Phone #: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Name: \_\_\_\_\_ Chief Operating Officer (or equivalent position)

Title (if different from Chief Operating Officer): \_\_\_\_\_

Phone #: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Name: \_\_\_\_\_ Chief Financial Officer (or equivalent position)

Title (if different from Chief Financial Officer): \_\_\_\_\_

Phone #: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Name: \_\_\_\_\_ Chief Compliance Officer (or equivalent position)

Title (if different from Chief Compliance Officer): \_\_\_\_\_

Phone #: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Pages 12-21 of National Futures Association Form 8-R must also be completed by each of the above executive officers for informational purposes in connection with this Application and must accompany this Application.

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. Also provide an organization chart (if applicable).
11. Does the organization 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): \_\_\_\_\_
12. If you identified any foreign country in your response to Question 11 or the organization is organized under the laws of a foreign jurisdiction, is the organization availing itself 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 15-23 of National Futures Association Form 7-R must also be completed by the organization for informational purposes in connection with this Application and must accompany this Application.

### 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, registered 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, registered 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: \_\_\_\_\_