

**Cboe Futures Exchange, LLC (CFE)
Responsible Trader and Executive Officer
Information Cover Sheet**

First & Middle	<input type="text"/>		
Last	<input type="text"/>		
Firm Name	<input type="text"/>		
Title	<input type="text"/>		
Social Security #	<input type="text"/>	Date of Birth	<input type="text"/>
Home Address	<input type="text"/>		
City	<input type="text"/>	State	<input type="text"/>
Zip/Postal Code	<input type="text"/>	Country	<input type="text"/>

Pages 17-22 of National Futures Association Form 8-R (attached) must be completed for informational purposes by each Responsible Trader and each executive officer identified in a CFE Organization Trading Privilege Holder application. I recognize that the information included in the responses to the questions in National Futures Association Form 8-R furnished to CFE may be verified by investigation, and hereby declare that they are true, complete and accurate.

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>.

Signature	<input type="text"/>
Date	<input type="text"/>

Disciplinary Information – Criminal Disclosures

For additional assistance and information on completing this page refer to the Instructions and Definition of Terms at the beginning of this document.

Answer the following questions.

YOU MUST ANSWER “YES” TO THE QUESTIONS ON THIS PAGE EVEN IF:

- ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR
- THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR
- A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR
- THE RECORD WAS EXPUNGED OR SEALED; OR
- A PARDON WAS GRANTED.

YOU MAY ANSWER “NO” IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.

For each matter that requires a “Yes” answer to Questions A, B or C below, you must provide additional information by filing a Criminal Disclosure Matter Page (“DMP”) for each criminal matter using NFA’s DMP Filing system that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any; and
- the date of the determination.

You must also provide documents regarding each criminal matter requiring a “Yes” answer, that show

- the charges;
- the classification of the offense, i.e., felony or misdemeanor;
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

You may provide these documents electronically using the upload function in the DMP Filing System or sending them to NFA (See Instruction).

TEMPLATE: DO NOT SEND TO NFA
INDIVIDUAL APPLICATION (FORM 8-R)
COMMODITY FUTURES TRADING COMMISSION
NATIONAL FUTURES ASSOCIATION

Disciplinary Information – Criminal Disclosures (cont.)

Question A.*

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever pled guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

Yes No

Question B.*

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. 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; or
- violation of sections 152, 1341, 1342, or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

Yes No

Question C.*

(1) Are you personally or

(2) is any entity of which you were a Principal at the time the activities occurred

a party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

Yes No

*Required to file application

Disciplinary Information – Criminal Disclosures (cont.)

Applicants with all “No” answers above answer this question

Even though you answered “No” to all of the above questions, would you like to provide a Criminal DMP?*

Yes No

Applicants with “Yes” answers above answer this question

Will you be filing a Criminal DMP with respect to a new matter?*

Yes No

Disciplinary Information – Regulatory Disclosures

For additional assistance and information on completing this page refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a “Yes” answer to Questions D, E, F, G, H or I below, you must provide additional information by filing a Regulatory DMP for each regulatory matter using NFA’s DMP Filing system that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the regulatory matter.

You must also provide documents regarding each regulatory matter requiring a “Yes” answer, that show

- the allegations; and
- the final disposition.

You may provide these documents electronically using the upload function in the DMP Filing System or sending them to NFA (See Instruction).

*Required to file application

Disciplinary Information – Regulatory Disclosures (cont.)

Question D.*

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC),

(1) have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been permanently or temporarily enjoined after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, 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

Question E.*

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC),

(1) have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; 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; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Yes No

*Required to file application

Disciplinary Information – Regulatory Disclosures (cont.)

Question F.*

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been debarred by any agency of the U. S. from contracting with the U. S.?

Yes No

Question G.*

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted your ability to engage in any business in the financial services industry?

Yes No

Question H.*

Are any of the orders or other agreements described in Question G currently in effect against you personally?

Yes No

Question I.*

(1) Are you personally or

(2) is any entity of which you were a Principal at the time the activities occurred

a party to any action, or is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

Yes No

*Required to file application

Disciplinary Information – Regulatory Disclosures (cont.)

Applicants with all “No” answers above answer this question

Even though you answered “No” to all of the above questions, would you like to provide a Regulatory DMP?*

Yes No

Applicants with “Yes” answers above answer this question

Will you be filing a Regulatory DMP with respect to a new matter?*

Yes No

*Required to file application