

**POOLED INVESTMENT VEHICLE APPENDIX TO
ORGANIZATION TRADING PRIVILEGE HOLDER APPLICATION****The appropriate 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 _____)

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

Investment Management Agreement for Pool (or equivalent document) and ownership/organizational chart for Pool and Pool Manager(s) must accompany this application. Pool participants/investors do not need to be identified in the ownership/organizational chart.

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. Name of operator(s), investment manager(s), or investment advisor(s) of Pool (Pool Manager(s)): _____

5. Additional trading permits, if any, requested for the Pool Manager(s) in relation to the Pool:

Order Entry _____ and/or Quoting and Order Entry _____

6. Is the Pool currently registered or listed with any domestic or foreign regulatory agency or body? Yes No

If yes, please provide for each registration or listing the regulatory agency or body, registration or listing capacity, and registration number: _____

7. 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

8. Identify the CFE clearing firm issuing the guarantee for the Pool's activity on CFE:

Name: _____ OCC #: _____

9. Is the Pool a member of any national securities exchange, national securities association, futures exchange, or registered futures association? Yes No If yes, identify: _____

10. Identify the entity that will maintain the audit trail records for, and respond to regulatory requests for information and books and records of, the prospective Trading Privilege Holder that collectively includes the Pool and its Pool Manager(s) and the contact person at that entity concerning audit trail records and regulatory requests.

Name of Entity: _____

Contact Person: _____ Phone: _____

E-mail Address: _____

Mailing Address: _____

11. List of all directors and officers of (and persons in equivalent positions with) the Pool.

Name: _____

Title: _____

Phone #: _____ E-Mail: _____

Name: _____

Title: _____

Phone #: _____ E-Mail: _____

Name: _____

Title: _____

Phone #: _____ E-Mail: _____

Name: _____

Title: _____

Phone #: _____ E-Mail: _____

Please provide the name(s), title(s), phone #(s), and e-mail(s) of any other directors, officers and persons in equivalent positions on a separate page.

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

12. Does the Pool 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): _____

13. If you identified any foreign country in your response to Question 12 or the Pool is organized under the laws of a foreign jurisdiction, is the Pool 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 Pool for informational purposes in connection with this Application and must accompany this Application.

CONSENT TO JURISDICTION

The Pool 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 Pool 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 Pool, and the Pool hereby releases each such entity from any and all liability of whatsoever nature by reason of furnishing such information to CFE.

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

The Pool 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: _____