

Cboe Futures Exchange, LLC

Foreign TPH Organization Application Requirements

All applications for new Trading Privilege Holder (TPH) organizations must be submitted to the Registration Services Department (RSD) and will be processed on a rolling basis. The application process generally takes 3 - 4 weeks provided that all required documents and fee(s) have been submitted.

All documents must be in English.

THE FOLLOWING ITEMS ARE REQUIRED AT THE TIME OF SUBMISSION

- ▶ Trading Privilege Holder Organization Application and Fee (\$1,000)
 - Applicant is responsible for all wire transfer fees assessed by their bank
- ▶ Organizational Documents: (or equivalent documents)
 - Certificate of Incorporation and Bylaws; or
 - Partnership Agreement and Registration Certificate; or
 - LLC Operating Agreement and Registration Certificate
- ▶ For each Responsible Trader, Executive Officer and Authorized Signatory:
 - Information Cover Sheet and National Futures Association Form 8-R, Pages 12 – 21
 - Applicant's Disclosure & Authorization for Background Screening (US residents only)
 - Investigation Fee (\$135) per U.S. person being investigated (generally not required if individual was investigated in prior 24 months)
- ▶ Supporting document for question 10 (organization ownership) on application, including an organization chart (if applicable)
- ▶ National Futures Association Form 7-R, Pages 15 – 23
- ▶ Supplemental Application Form (if applicable) (refer to [CFE Approved Foreign Jurisdictions](#))
- ▶ Pooled Investment Vehicle Appendix to Organization TPH Application (if applicable)
 - Investment Management Agreement for Pool (or equivalent document) and ownership/organizational chart for Pool and Pool Manager(s)

BEFORE APPLICATION APPROVAL

- ▶ Clearing Member Guarantee Form (Clearing Members only)

AFTER APPLICATION APPROVAL

To become effective, the TPH will need to submit the following:

- ▶ Clearing Member Give-Up Authorization and Guarantee
- ▶ TPH Organization Activation Form
- ▶ CFE Login Request Form (coordinate with RSD on login availability)

Each CFE Trading Permit allows up to three (3) logins. Logins are \$600 / month, and CFE Trading Permits cost \$6,000 annually. CFE Trading Permits are prorated beginning with the month in which the Trading Permit is obtained at \$500 per month for all months remaining in the calendar year.

See CFE Fee Schedule for all fee details: [CFE Fee Schedule](#)

ADDITIONAL CONTACTS

Annual Trading Permit Fee and Application Fee questions may be directed to RSD at 312-786-7449 or registration@cboe.com.

Legacy Connectivity questions may be directed to the API Group at 312-786-7300 or api@cboe.com.

New CFE Platform Connectivity questions may be directed to NOC at 913-815-7005 or noc@cboe.com.

Transaction Fee questions may be directed to John Mavindidze at 312-786-7689 or mavindidze@cboe.com.

Data Feed Connectivity Fee and Market Data Fee questions may be directed to Cboe Market Data Services at 212-378-8821 or marketdata@cboe.com.

CFE System Connectivity Fee and Co-Location Fee questions may be directed to Pete Smith at 312-786-7681 or colobilling@cboe.com.

Trading Operation questions may be directed to CFE Help Desk at 877-226-3773 or cfehelpdesk@cboe.com.