

# **Cboe Futures Exchange, LLC**

## **Russian Trading Privilege Holder**

### **Supplemental Application Form**

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The business organization referenced below (“Organization”) represents and warrants to Cboe Futures Exchange, LLC (“CFE”) that as of the date of the Organization’s application for CFE Trading Privileges and on each day thereafter until the Organization’s Trading Privileges are terminated:

- (i) the Organization is considered a qualified investor as defined under Russian law; and
- (ii) if applicable, all customers for which trading will be done by the Organization on CFE are also qualified investors under Russian law.

For the purposes of this Supplemental Application Form, a “qualified investor” has the meaning given in Russian Federal law dated 22 April 1996 N39-FZ “On securities market”. Specifically, a qualified investor is one of the following persons:

- 1) Securities market professional (broker, dealer, trust manager, depository, or registrar);
- 2) Clearing organization;
- 3) Joint stock investment fund;
- 4) Bank or other credit organization;
- 5) Manager of investment fund<sup>1</sup>;
- 6) Russian or international public institution (Russian Central bank, Deposits Insurance Agency, International financial organizations – World bank, European Central bank, EBRD, etc.);
- 7) Persons that are recognized as qualified investors by a broker, trust manager, or manager of an investment fund in respect of traded instruments.

The Organization acknowledges and agrees that it may not access CFE’s trading system directly and may only access CFE’s trading system through an independent software vendor (“ISV”) certified by CFE that is located in either the United States or the United Kingdom.

The Organization consents, on its own behalf and on behalf of each third party individual to the collection, use, and disclosure of personal data by CFE, Cboe Exchange, Inc. (“Cboe Options”), and/or their related entities, service providers, and agents for all purposes in connection with: (a) assessing the Organization’s application and managing its ongoing status as a Trading Privilege Holder (if admitted); (b) verifying the identity of the Organization’s executive officers or persons acting on behalf of the Organization; (c) carrying out the functions of the CFE platform; (d) the administration, verification, processing, and effecting of any transactions placed through the CFE platform; (e) preventing, detecting, and investigating any potential rule or regulatory violation and analyzing and managing commercial risks; (f) meeting the legal, regulatory, and/or reporting obligations of CFE, Cboe Options, and/or their related entities; (g) complying with any applicable rules, laws, or regulations, regulatory policies, guidelines or industry codes, judgments, orders, directions, or requests issued by any court, legal, or regulatory bodies including rules and regulations relating to anti-money laundering and countering the financing of terrorism and the carrying out of audit checks, surveillance, and investigations; (h) using aggregated data for market analysis, marketing, and product development; (i) providing lists of current CFE Trading Privilege Holders upon request; and (j) any purpose ancillary to the administration, operation, processing, or management of the CFE platform and the provision of services (including market research and the marketing of products and services of CFE, Cboe Options, and/or their related entities) and other general business purposes.

The Organization confirms and warrants that it consents or has obtained the prior written consent and authorization of any third party individuals, including customers, employees, and executive officers, for and on behalf of CFE and/or their related entities, service providers, and agents to collect, use, and disclose the information contained in this application for all purposes listed above under applicable laws and regulations.

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<sup>1</sup> Items from 1 to 5 shall mean entities that are licensed and recognized under Russian law as such.

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Name of Organization

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Signature of Authorized Signatory

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Name of Authorized Signatory

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Title of Authorized Signatory

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Date