

C2

Permit Holder Department
400 LaSalle St.
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
www.c2.org

**PERMIT HOLDER APPLICATION
SOLE PROPRIETOR**

- 1. Name: _____ Social Security #: _____
- 2. Are you legally authorized to work in the United States? Yes No Date of Birth _____
(Please provide a copy of documentation evidencing your authorization to work in the United States. This may include a copy of an unexpired or expired U.S. passport, or copies of a driver's license along with either a U.S. Social Security Card or U.S. birth certificate, other eligible documents listed on Form I-9, Employment Eligibility Verification, provided by the Department of Homeland Security.)
- 3. E-mail Address: _____
- 4. Mailing Address: _____
City: _____ State: _____ Zip Code: _____ Phone: _____
- 5. The Clearing Participant issuing the guarantee for my activity on C2 is:
Name: _____ OCC #: _____
- 6. Capacity in which I seek to act on C2:
 MM Non-MM
- 7. Are you registered with the SEC, under Section 15 of the Securities Exchange Act of 1934, as a broker/dealer (BD) through the Central Registration Depository (CRD)? Yes No
If yes, give your BD # 8 - _____ and CRD # _____
If no, you must complete Form BD and submit one copy with this application.
- 8. C2 Rule 3.1(c)(G) requires non-CBOE member applicants to maintain a membership in another options exchange registered under the Act and that is not registered solely under Section 6(g) of the Act. Indicate the options exchange(s) of which applicant is a member. _____

FINANCIAL INFORMATION

I. DEBTS TO EXCHANGES OR EXCHANGE MEMBERS (verbal and written)

- 9. Do you owe any monies to C2, another national securities exchange, a national securities association, a national futures association, or a commodities exchange that are overdue (including, but not limited to, any overdue fees, charges, dues, assessments, fines, or other amounts)? ... Yes No
To Whom _____ \$ _____
- 10. Have satisfactory arrangements been made to repay this debt? Yes No
Describe _____ \$ _____
- 11. Do you owe any monies to any C2 permit holder, or any member of another national securities exchange, a national securities association, a national futures association, or a commodities exchange? ...
Yes No
To Whom _____ \$ _____
- 12. Have satisfactory arrangements been made to repay this debt? Yes No
Describe _____ \$ _____

II. FINANCING ARRANGEMENTS

C2 Rule 8.10 governs the financing of market makers by non-broker-dealers. Each market maker who makes an arrangement with a non-broker-dealer to finance the market maker's transactions as a market maker is required by Rule 8.10 to identify to the CBOE Department of Member Firm Regulation: (i) the sources(s) of any such financing; (ii) the terms of any such

financing; and (iii) the termination of, or any changes to, any such financing arrangement. The form to be used to report any such financing arrangements is available from the Department of Member Firm Regulation (312-786-7937).

If you are **applying to be approved as a Market Maker**:

13. Have you received any financing from, or made any financing arrangements with, any non-broker-dealer to finance your transactions as a market maker? Yes ___ No ___
Describe _____

14. If the answer to the foregoing question is "yes", have you filed with the Department of Member Firm Regulation a completed form to report this financing along with a copy of the loan agreement?

Securities and Exchange Commission (SEC) Rule 15c3-1d governs the financing of a C2 permit holder broker-dealer by another broker-dealer. Any C2 broker-dealer that borrows funds from another broker-dealer that are to be used for trading or other business purposes is required by SEC Rule 15c3-1d to do so pursuant to a subordinated loan agreement that has been filed with and approved by the Department of Member Firm Regulation. Subordinated Loan Agreement forms are available from the Department of Member Firm Regulation (312-786-7937).

15. Have you borrowed funds from any broker-dealer that are to be used for trading or other business purposes? Yes ___ No ___
Describe _____

16. If the answer to the foregoing question is "Yes", have you filed a subordinated loan agreement with the Department of Member Firm Regulation with respect to this loan and obtained approval of the loan from that Department? Yes ___ No ___

III. NET WORTH

Total Assets \$ _____
Less Total Liabilities \$ _____
Equals Net Worth \$ _____

CONSENT TO JURISDICTION

I hereby agree to abide by the Bylaws and Rules of C2, as they shall be in effect from time to time.

I authorize any governmental agency, national securities exchange, national securities association, commodities exchange and all of my former employers and other persons to furnish to C2, upon request, any information they may have concerning my character, ability, business activities, reputation and employment history and I hereby release each such person from any and all liability of whatsoever nature by reason of furnishing such information to C2.

I authorize C2 to make available to any governmental agency, national securities exchange, national securities association, commodities exchange or other entity (upon such entity's showing of proper authority and need) any information C2 may have concerning me, and I hereby release C2 from any and all liability of whatsoever nature by reason of furnishing such information.

I agree to promptly update my permit holder application materials if any of the information provided in these materials becomes inaccurate or incomplete after the date of submission of my application to CDOS and prior to any approval of the application.

I acknowledge and agree that under the Fair Credit Reporting Act C2 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. A copy of the Federal Trade Commission's "Summary of Your Rights under the Fair Credit Reporting Act" is available from C2 upon request.

I recognize that the statements in the application materials furnished to C2 may be verified by investigation, and hereby declare that they are true, complete and accurate.

Signature of Applicant: _____ Date: _____