

CBOE

EXECUTE SUCCESS™



15020299

Jaime Galvan
Senior Attorney
Legal Division
400 S. LaSalle Street
Chicago, IL 60605
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galvanj@cboe.com

April 14, 2015

Via Federal Express Overnight

Chris Grobbel
U.S. Securities and Exchange Commission
Division of Trading and Markets
100 F. Street N.E.
Washington DC 20549

Re: Form 1 – Exhibit F

Dear Mr. Grobbel:

Pursuant to Securities Exchange Act Rule 6a-2, enclosed is the original and two copies of new and amended Trading Permit Holder forms of Chicago Board Options Exchange, Incorporated (“CBOE”). Copies of these forms are available on the CBOE Website at:
<https://www.cboe.org/members/generalinfo/memberforms.aspx>

CBOE – New Forms

Notification of Identified Designated Give Ups Form – August 2014
Clearing TPH Authorized Designated Give Up Contact Form – August 2014
ETH Trading Permit & Bandwidth Packet Additions/ Removals – June 2014
ETH Acronym/ Login Activation/ Termination – June 2014
ETH Notification of Identified Designated Give Ups Form – January 2015

CBOE – Amended Forms

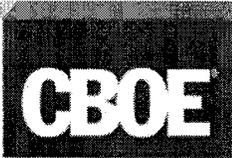
Inactive Nominee Status (Parking Space) Application/Termination – Revised April 8, 2015
Financial Questionnaire (previously Financial Statement) – Renamed and Revised April 7, 2015
Sponsored User Agreement – Revised April 7, 2015
Application for Trading Permit Holder (TPH) Organization – Revised March 2015
Application for a Trading Permit Holder (TPH) Organization to Qualify to Transact Business with the Public- Revised March 2015
Notification of Change in Nominee Status - Revised January 2015
Single Entity Broker Dealer Joint Account Activation/Termination - Revised March 2015
Organization Consent to Jurisdiction - Revised March 2015
Clearing Trading Permit Holder Connectivity Guarantee for Login Access - Revised September 2014
CBOE Login Request Form - Revised February 2015

Sincerely,

Jaime Galvan

Enclosures

RECEIVED
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SEC / MK



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Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

CBOE TRADING PERMIT HOLDER ORGANIZATION NOTIFICATION OF IDENTIFIED DESIGNATED GIVE-UPS

Name of Trading Permit Holder (TPH) Organization

In accordance with Chicago Board Options Exchange (CBOE) Rule 6.21(b)(iii), TPH Organization notifies the CBOE of changes to Clearing TPH's identified as Designated Give-Ups for the TPH Organization.

Name of Authorized Signatory of TPH Organization

Title of Authorized Signatory

Signature of Authorized Signatory of TPH Organization

Date

List of TPH Acronyms to be enabled for the Designated Give-Ups (attach additional sheet if necessary):

1. _____ 2. _____ 3. _____ 4. _____ 5. _____ 6. _____ 7. _____

Designated Give-Ups Identified by this Form (attach additional sheet if necessary):

- 1. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 2. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 3. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 4. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 5. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 6. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 7. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 8. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 9. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up
- 10. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

Representative is authorized to act on behalf of the TPH: Specialist Initials: _____ Date: _____

RSD Management Review: Initials: _____ Date: _____

Help Desk Staff who inputted changes: _____ HD Management Check: _____



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**CLEARING TRADING PERMIT HOLDER ORGANIZATION
AUTHORIZED DESIGNATED GIVE UP CONTACT FORM**

Name of Clearing Trading Permit Holder Organization

In accordance with Chicago Board Options Exchange, Incorporated ("CBOE" or the "Exchange") Rule 6.21(d), the Exchange shall notify a Clearing Trading Permit Holder in writing and as soon as practicable, of each Trading Permit Holder that has identified the Clearing Trading Permit Holder as a Designated Give Up.

Please list individual(s) and/or group(s) authorized to receive the Designated Give Up list. Unless otherwise provided by the submission of this form, the Exchange will notify the Clearing Trading Permit Holder's Compliance Officer on file with the Registration Services Department by email.

Name Phone Email

Please fill out the above information and email the completed form as an attachment to giveups@cboe.com.

Questions regarding this form may be directed to Registration Services Department at 312-786-7449 or registration@cboe.com.

Name of Authorized Signatory of TPH Organization Title of Authorized Signatory

Signature of Authorized Signatory of TPH Organization Date

Representative is authorized to act on behalf of the TPH: Specialist Initials: _____ Date: _____

RSD Management Review: Initials: _____ Date: _____



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EXTENDED TRADING HOURS (ETH) TRADING PERMIT & BANDWIDTH PACKET ADDITIONS/REMOVALS

TRADING PERMIT HOLDER ORGANIZATION NAME:

AUTHORIZED REPRESENTATIVE'S NAME:

AUTHORIZED REPRESENTATIVE'S TITLE:

SIGNATURE OF AUTHORIZED REPRESENTATIVE:

EFFECTIVE DATE:

	ADDING	REMOVING
MARKET-MAKER TRADING PERMITS:	<input type="text"/>	<input type="text"/>
<i>SPX APPOINTMENT</i>	<input type="text"/>	<input type="text"/>
<i>VIX APPOINTMENT</i>	<input type="text"/>	<input type="text"/>
ELECTRONIC ACCESS PERMITS:	<input type="text"/>	<input type="text"/>
QUOTING & ORDER ENTRY BANDWIDTH PACKETS:	<input type="text"/>	<input type="text"/>
ORDER ENTRY BANDWIDTH PACKETS:	<input type="text"/>	<input type="text"/>

Please fill out the above information, indicating the action to be taken for the number of ETH trading permits and/or bandwidth packets listed. E-mail the completed form as an attachment to tradingpermits@cboe.com. CBOE Exchange personnel will contact you regarding your request.

Trading permits and bandwidth packets will auto renew for the following month unless the Trading Permit Holder requests to have them removed. Requests to **remove ETH trading permits** must be received by **4:00 pm on the second-to-last business day** of the prior month to cancel the ETH Trading Permit effective at or prior to the end of the applicable month. Requests to **remove bandwidth packets** must be made by the **last day of the month** to be effective for the following month.

REGISTRATION SERVICES DEPARTMENT USE ONLY

Representative is authorized to act on behalf of the TPH: Specialists Initials: _____ Date: _____

ETH Trading Permit Number/s

Registration Services Department Signature & Date



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Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

**EXTENDED TRADING HOURS (ETH)
ACRONYM / LOGIN
ACTIVATION / TERMINATION**

ACTIVATION

As of _____, please make _____
Date ETH Acronym /Login

effective for _____
TPH Organization Name

on a ETH Market Maker Permit ETH Electronic Access Permit

TERMINATION

As of close of business _____, please terminate _____
Date ETH Acronym /Login

for _____
TPH Organization Name

JOINT ACCOUNT (if applicable)

Add to joint account(s): _____ / _____ / _____ / _____ / _____
 Terminate from joint account(s): _____ / _____ / _____ / _____ / _____

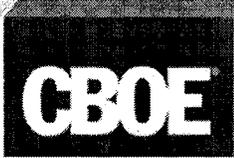
Name of Authorized Signatory of TPH Organization Title

Signature of Authorized Signatory Date

=====

REGISTRATION SERVICES DEPARTMENT USE ONLY

ETH Trading Permit # Registration Services Department Signature & Date



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Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

**EXTENDED TRADING HOURS SESSION
CBOE TRADING PERMIT HOLDER ORGANIZATION
NOTIFICATION OF IDENTIFIED DESIGNATED GIVE-UPS**

Name of Trading Permit Holder (TPH) Organization

In accordance with Chicago Board Options Exchange (CBOE) Rule 6.21(b)(iii), TPH Organization notifies the CBOE of changes to Clearing TPH's identified as Designated Give-Ups for the TPH Organization.

Name of Authorized Signatory of TPH Organization

Title of Authorized Signatory

Signature of Authorized Signatory of TPH Organization

Date

List of TPH Acronyms to be enabled for the Designated Give-Ups (attach additional sheet if necessary):

1. _____ 2. _____ 3. _____ 4. _____ 5. _____ 6. _____ 7. _____

Designated Give-Ups Identified by this Form (attach additional sheet if necessary):

1. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

2. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

3. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

4. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

5. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

6. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

7. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

8. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

9. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

10. Name: _____ OCC #: _____ Enable Give-Up Disable Give-Up

Representative is authorized to act on behalf of the TPH: Specialist Initials: _____ Date: _____

RSD Management Review: Initials: _____ Date: _____

Help Desk Staff who inputted changes: _____ HD Management Check: _____



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Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

**INACTIVE NOMINEE STATUS (PARKING SPACE)
APPLICATION/TERMINATION**

Name of TPH Organization: _____

APPLICATION

Number of Inactive Nominee Statuses (Parking Spaces) requested under CBOE Rule 3.8(H): _____
(Only include the number of additional parking spaces requested by TPH Organization and do not include in this number any parking spaces currently maintained by TPH Organization.)

TERMINATION

Number of Inactive Nominee Statuses (Parking Spaces) terminated: _____

In order to terminate a parking space, TPH Organization must complete and submit this form to CBOE's Registration Services Department (unless TPH Organization's CBOE Trading Permit Status is also terminating). The termination of an individual inactive nominee does not automatically terminate a parking space maintained by TPH Organization.

TPH Organization understands that fees for a parking space will continue to be assessed until that parking space is terminated through (i) the submission to CBOE's Registration Services Department of this form for that parking space or (ii) the termination of TPH Organization's CBOE Trading Permit Status.

Name of Authorized Signatory of TPH Organization: _____

(Signature of Authorized Signatory of TPH Organization)

Title: _____ Date: _____



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Registration Services Department
400 S. LaSalle Street
Chicago, Illinois 60605
(312) 786-7449 - Phone
(312) 786-8140 - Fax
registration@cboe.com

FINANCIAL QUESTIONNAIRE

I. Debts To Exchanges Or Exchange Participants (verbal and written)

Do you owe any monies to Chicago Board Options Exchange (CBOE), 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 _____ \$ _____

Have satisfactory arrangements been made to repay this debt?Yes [] No []

Describe _____ \$ _____

Do you owe any monies to any Trading Permit Holder of CBOE or to a participant of another national securities exchange/association, national futures association, or a commodities exchange?.....Yes [] No []

To Whom _____ \$ _____

Have satisfactory arrangements been made to repay this debt?Yes [] No []

Describe _____ \$ _____

II. Financing Arrangements

CBOE 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 Regulatory Division: (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 report any such financing arrangements is available from the CBOE Regulatory Division (312-786-8141).

If you are a market maker or are applying to be approved as a market maker:

Have you received any financing from, or made any financing arrangements with, any non-broker-dealer to finance your transactions as a marketmaker?.....Yes [] No []

Describe _____

If the answer to the foregoing question is "yes", have you filed with the CBOE Regulatory Division a completed form to report this financing along with a copy of the loan agreement?.....Yes [] No []

Securities and Exchange Commission (SEC) Rule15c3-1d governs the financing of a CBOE Trading Permit Holder broker-dealer by another broker-dealer. Any CBOE 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 CBOE Regulatory Division. Subordinated Loan Agreement forms are available from the CBOE Regulatory Division (312-786-8141).

If you are a broker-dealer:

Have you borrowed funds from any broker-dealer that are to be used for trading or other business purposes?Yes [] No []

Describe _____

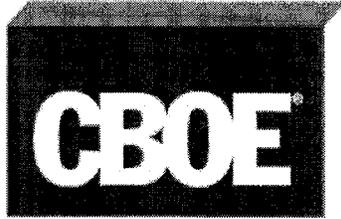
If the answer to the foregoing question is "Yes", have you filed a subordinated loan agreement with the CBOE Regulatory Division with respect to this loan and obtained approval of the loan from the CBOE Regulatory Division?.....Yes [] No []

(Applicants operating as Broker-Dealers must provide a current financial statement or focus report)

I hereby state that I have read and understand the contents of this financial statement and attest that such statement represents a true reflection of my financial condition as of the date of this submission. Please note that it may be considered a violation of Exchange Rule 4.6 for an applicant for any type of Trading Permit to make a misstatement on any documents submitted to the Chicago Board Options Exchange.

Name _____

Signature _____ Date _____



CHICAGO BOARD OPTIONS EXCHANGE

Sponsored User Program Materials

Application Process

Filing Requirements

Prior to submitting a Sponsored User Agreement, the Sponsoring Trading Permit Holder must be a Trading Permit Holder in good standing of the Chicago Board Options Exchange, Incorporated. (the "Exchange").

Checklist

The Sponsoring Trading Permit Holder and the Sponsored User must complete and submit all applicable materials noted in the checklist below, along with any applicable fees to:

Chicago Board Options Exchange
Attn: Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
E-mail: registration@cboe.com
Fax: (312) 786-8140

Note: All materials sent to the Exchange will be reviewed by its Registration Services and the Regulatory Services Division for completeness and adequacy. If you have questions on completing the materials, you may direct them to the Registration Services Department (RSD) (registration@cboe.com or 312-786-7449) concerning the Sponsored User Agreement and Letter of Authorization or to the Regulatory Services Division (312-786-7069) concerning the Sponsoring Trading Permit Holder's Written Supervisory Procedures and Sponsored User's List of Authorized Traders.

Process

- Following submission of the materials noted in the checklist below and relevant fees, the materials will be reviewed for completeness and adequacy.
- Once it has been determined that the materials noted in the checklist below are complete and adequate, RSD will inform the Sponsoring Trading Permit Holder and the Sponsored User of the CBOE's acceptance of the Sponsored User registration status.
- The Sponsoring Trading Permit Holder and the Sponsored User are required to consult with the Exchange's Application Program Interface ("API") Group (api@cboe.com or 312-786-7300) to coordinate connectivity between the Sponsored User and the Exchange.
- Once connectivity is established, a representative of the Exchange API Group will inform the Sponsoring Trading Permit Holder of the Sponsored User's ability to have electronic access to the Exchange System(s).

Documentation Checklist

- Signed Sponsored User Agreement for (as applicable):
 - CBOE (Attachment A-1; an interactive form is available at <https://www.cboe.org/members/generalinfo/MemberFormArchive/SponsoredUser200806.pdf>)
 - CFLEX (Attachment A-1 and Attachment A-2; an interactive form is available at <http://www.cboe.com/institutional/SPONSOR.pdf>)
- Sponsoring Trading Permit Holder's Written Supervisory Procedures Related to the Sponsored User Program
- Sponsored User's List of Authorized Traders (Attachment B)
- Registration Fee -\$2,500

ATTACHMENT A
Sponsored User Agreement

Complete and sign only the applicable agreement(s) seeking Sponsored User access to:

- CBOE (Attachment A-1)
- CFLEX (Attachments A-1 and A-2)

CBOE SPONSORED USER AGREEMENT
Attachment A-1



Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

SPONSORED USER AGREEMENT

This Sponsored User Agreement (“Agreement”) is to be entered into and maintained by Sponsoring Trading Permit Holder and Sponsored User with CBOE, each as identified below, in order for Sponsored User to obtain and maintain authorized electronic access to the facilities and products in CBOE Rule 6.20A (see CBOE Rule 6.20A for definitions and requirements).

Sponsoring Trading Permit Holder acknowledges and agrees that:

(A) all orders entered by Sponsored User, any person acting on behalf of Sponsored User (e.g., employees or agents of Sponsored User), or any person acting in the name of Sponsored User (e.g., customers of Sponsored User) and any executions occurring as a result of such orders are binding in all respects on Sponsoring Trading Permit Holder;

(B) Sponsoring Trading Permit Holder is responsible for any and all actions taken by Sponsored User and any person acting on behalf of or in the name of Sponsored User;

(C) Sponsoring Trading Permit Holder will be bound by and comply with CBOE’s Certificate of Incorporation, Bylaws, Rules, Circulars and procedures, as well as any other equivalent documents (the “CBOE Rules”); and

(D) Sponsoring Trading Permit Holder must maintain an up-to-date list of persons who could obtain access to CBOE on behalf of Sponsored User (i.e., Authorized Traders) and provide that list to the Exchange upon request. In addition, Sponsoring Trading Permit Holder must have reasonable procedures to ensure that Sponsored User and all of Sponsored Users’ Authorized Traders: (i) maintain the physical security of CBOE, which includes, but is not limited to, the equipment for accessing the facilities of CBOE, to prevent the unauthorized use or access to CBOE, including the unauthorized entry of information into CBOE, or the information and data made available therein; and (ii) otherwise comply with the CBOE Rules. If CBOE determines that Sponsored User or an Authorized Trader has caused Sponsoring Trading Permit Holder to violate the CBOE Rules, CBOE may direct Sponsoring Trading Permit Holder to suspend or withdraw Sponsored User’s status as a Sponsored User or the person’s status as an Authorized Trader and, if so directed, Sponsoring Trading Permit Holder must suspend or withdraw such status.

Sponsored User agrees:

(A) to be bound by and comply with the CBOE Rules as if Sponsored User were a CBOE Trading Permit Holder;

(B) to maintain, keep current and provide to Sponsoring Trading Permit Holder a list of persons who have been granted access to CBOE on behalf of Sponsored User (“Authorized Traders”);

(C) to familiarize its Authorized Traders with all of Sponsored User’s obligations under Rule 6.20A and assure that they receive appropriate training prior to any use of or access to CBOE;

(D) to not permit anyone other than Authorized Traders to use or obtain access to CBOE;

(E) to take reasonable security precautions to prevent unauthorized use or access to CBOE, including unauthorized entry of information into CBOE, or the information and data made available by CBOE and to be responsible for any and all orders, trades and other messages and instructions entered,

transmitted or received under identifiers, passwords and security codes of Sponsored User and any person acting on behalf of or in the name of Sponsored User, and for the trading and other consequences thereof;

(F) to establish adequate procedures and controls to permit it to effectively monitor use of and access to CBOE by any person acting on behalf of or in the name of Sponsored User for compliance with the terms of these sponsorship provisions;

(G) to pay when due all amounts, if any, payable to Sponsoring Trading Permit Holder, CBOE or any other third parties that arise from Sponsored User's use of or access to CBOE, including, but not limited to, applicable Exchange and regulatory fees; and

(H) that the Sponsoring Trading Permit Holder/Sponsored User relationship in no way conveys any "Trading Permit Holder," "TPH organization" or "associated person" status, interests or rights upon Sponsored User under CBOE Rules. Without limiting the generality of the forgoing, Sponsored User status is non-transferable and Sponsored User has no interest in the assets or property of CBOE, and has no right to share in any distribution of CBOE or to vote on any matters submitted to Trading Permit Holdership for vote. In addition, Sponsored User is not considered a "member" or "associated person of a member" for purposes of the Exchange Act, or the rules and regulations thereunder, and is not subject to the disciplinary jurisdiction of CBOE.

Sponsoring Trading Permit Holder and Sponsored User must enter into and maintain this Sponsored User Agreement with the Exchange and agree to be bound by any Sponsored User Agreement Schedules issued by CBOE. Sponsoring Trading Permit Holder and Sponsored User must also enter into and maintain a customer agreement(s) establishing a proper relationship(s) and account(s) through which Sponsored User will be permitted to trade on CBOE.

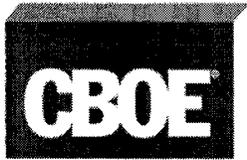
To the extent any provision of this Agreement conflicts with any change in applicable law, the regulations of the Securities and Exchange Commission, or CBOE Rules, such law, regulation, or CBOE Rule shall supersede that provision.

Acknowledged and agreed to by Sponsoring Trading Permit Holder:

Sponsoring Trading Permit Holder's Name: _____
CRD No.: _____ OCC No. (if applicable): _____
Sponsoring Trading Permit Holder Representative (signature): _____
Sponsoring Trading Permit Holder Representative (name): _____
Phone: _____ Email: _____
Title: _____ Date: _____

Acknowledged and agreed to by Sponsored User:

Sponsored User's Name: _____
CRD No. (if applicable): _____
Corporate Form: _____ State of Organization: _____
Sponsored User Representative (signature): _____
Sponsored User Representative (name): _____
Business Address: _____
Phone: _____ Email: _____
Title: _____ Date: _____



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Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

**SPONSORED USER
LETTER OF AUTHORIZATION**

To be completed, if applicable, by Sponsoring Trading Permit Holder’s clearing firm (see CBOE Rule 6.20A for definitions and requirements).

To the extent Sponsoring Trading Permit Holder is not a clearing firm, Sponsoring Trading Permit Holder’s clearing firm, which must be a CBOE TPH organization, hereby accepts responsibility for the clearance of Sponsored User’s transactions.

Acknowledged and agreed to by Sponsoring Trading Permit Holder’s Clearing Firm:

Clearing Firm’s Name: _____
CRD No.: _____ OCC No.: _____
Clearing Firm Representative (signature): _____
Clearing Firm Representative (name): _____
Phone: _____ Email: _____
Title: _____ Date: _____

Accepted by CBOE:

By (Signature): _____
Name: _____
Title: _____ Date: _____

CFLEX TRADING SYSTEM
Attachment A-2



Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

SPONSORED USER AGREEMENT

CFLEX TRADING SYSTEM

Sponsored User may only maintain and utilize electronic access to directly enter orders through Sponsoring Trading Permit Holder on the CFLEX Trading System if Sponsored User and Sponsoring Trading Permit Holder are subject to a valid, ongoing Sponsoring Trading Permit Holder/Sponsored User relationship and are parties to an effective Sponsored User Agreement. Refer to the Sponsored User Agreement or CBOE Rules for definitions of terms used herein.

BY USING THE CFLEX TRADING SYSTEM, SPONSORED TRADING PERMIT HOLDER AND SPONSORING USER ACKNOWLEDGE AND AGREE TO THE FOLLOWING TERMS OF USE.

The use of the CFLEX Trading System is subject to this Schedule and to the CBOE Rules, including, without limiting the generality of the foregoing, Rules that limit the liability of CBOE with respect to the use of facilities of CBOE. If Sponsored User is not a CBOE Trading Permit Holder, by using the CFLEX Trading System Sponsored User agrees to be bound by and comply with the CBOE Rules as if Sponsored User were a CBOE trading permit holder with respect to Sponsored User's use of the CFLEX Trading System.

ATTACHMENT B
Sponsored User's List of Authorized Traders

Sponsored User – List of Authorized Traders

Rule 6.20A(b)(1)(ii)(D) provides that a Sponsored User agree that it will maintain, keep current and provide to the Sponsoring Trading Permit Holder a list of Authorized Traders. Rule 6.20A(b)(2) also provides in relevant part that a Sponsoring Trading Permit Holder must maintain an up-to-date list of the Sponsored User’s Authorized Traders and must provide that list to the Exchange upon request.

Provide the names of the Sponsored User’s initial Authorized Traders in the area below (a typed attachment with the same information will also suffice). Updates to this form must be provided to the Exchange whenever the Sponsored User adds or removes an Authorized Trader. The Exchange also recommends that the Sponsored Users have unique Authorized Trader IDs associated with each order submitted to the Exchange. Sponsored Users should provide this Authorized Trader ID information using Tag 116 (OnBehalfOfSubId) in the FIX order message, or the UserAssignedID field for orders submitted using CMI. CMI users must place “116=” in front of the Authorized Trader ID.¹

Sponsored User Name: _____

Sponsoring Trading Permit Holder Name: _____

AUTHORIZED TRADER	
Name:	_____
Business Address:	_____
Phone:	_____ Fax: _____
Email:	_____
Authorized Trader’s unique ID:	_____
AUTHORIZED TRADER	
Name:	_____
Business Address:	_____
Phone:	_____ Fax: _____
Email:	_____
Authorized Trader’s unique ID:	_____

¹ If the Sponsored User is not utilizing a unique identifier for each Authorized Trader, the Exchange recommends that the Sponsored User should begin populating Tag 116 (OnBehalfOfSubId) in the FIX data with unique identifiers. CMI users should populate the UserAssignedID field in the following manner: 116=[insert unique identifier]. The Exchange recommends that unique identifiers for each Authorized Trader be used at all times. If the Sponsored User has questions concerning the format of order messages, it may contact the Exchange’s API Group.
April 2015

AUTHORIZED TRADER	
Name:	_____
Business Address:	_____
Phone:	_____ Fax: _____
Email:	_____
Authorized Trader's unique ID:	_____
AUTHORIZED TRADER	
Name:	_____
Business Address:	_____
Phone:	_____ Fax: _____
Email:	_____
Authorized Trader's unique ID:	_____

Additional Authorized Traders are submitted in a separate document attached hereto.

Signature of Sponsoring Trading Permit Holder Representative: _____

Date: _____

ATTACHMENT C
Rule 6.20A, Sponsored Users

Rule 6.20A. Sponsored Users

(a) General. This Rule governs electronic access for the entry and execution of orders by Sponsored Users with authorized access to the facilities and products specified below (referred to herein as the "Exchange System(s)") and the applicable requirements that Sponsored Users and Sponsoring Trading Permit Holders are required to satisfy in order to engage in a Sponsoring Trading Permit Holder/Sponsored User relationship. For purposes of this Rule, a "Sponsored User" is a person or entity that has entered into a sponsorship arrangement with a Sponsoring Trading Permit Holder for purposes of receiving electronic access to the Exchange System(s).

(b) Sponsored User. A Sponsored User may obtain and maintain authorized electronic access to the Exchange System(s), only if such access is authorized in advance by one or more Sponsoring Trading Permit Holders as follows:

(1) A Sponsored User must enter into a sponsorship arrangement with a "Sponsoring Trading Permit Holder," which is defined as a TPH organization that agrees to sponsor the Sponsored User's access to the Exchange System(s). The sponsorship arrangement consists of three separate components:

(i) The Sponsored User must enter into and maintain a customer agreement(s) with its Sponsoring Trading Permit Holder(s), establishing a proper relationship(s) and account(s) through which the Sponsored User will be permitted to trade on the Exchange System(s).

(ii) For a Sponsored User to obtain and maintain authorized access to the Exchange System(s), the Sponsored User and its Sponsoring Trading Permit Holder must enter into a written agreement that incorporates the following sponsorship provisions:

(A) The Sponsored User and its Sponsoring Trading Permit Holder must have entered into and maintained a Sponsored User Agreement with the Exchange.

(B) The Sponsoring Trading Permit Holder acknowledges and agrees that:

(I) all orders entered by its Sponsored User, any person acting on behalf of such Sponsored User (e.g., employees or agents of the Sponsored User), or any person acting in the name of such Sponsored User (e.g., customers of the Sponsored User) and any executions occurring as a result of such orders are binding in all respects on the Sponsoring Trading Permit Holder; and

(II) the Sponsoring Trading Permit Holder is responsible for any and all actions taken by such Sponsored User and any person acting on behalf of or in the name of such Sponsored User.

(C) The Sponsoring Trading Permit Holder agrees that it will be bound by and comply with the Exchange's Certificate of Incorporation, Bylaws, Rules and procedures, as well as any other equivalent documents pertaining to the Exchange System(s) (the "Exchange Rules"), and the Sponsored User agrees that it will be bound by and comply with the Exchange Rules as if the Sponsored User were a Trading Permit Holder.

(D) The Sponsored User agrees that it will maintain, keep current and provide to the Sponsoring Trading Permit Holder a list of persons who have been granted access to the Exchange System(s) on behalf of the Sponsored User ("Authorized Traders").

(E) The Sponsored User agrees that it will familiarize its Authorized Traders with all of the Sponsored User's obligations under this Rule and will assure that they receive appropriate training prior to any use of or access to the Exchange System(s).

(F) The Sponsored User agrees that it will not permit anyone other than Authorized Traders to use or obtain access to the Exchange System(s).

(G) The Sponsored User agrees that it will take reasonable security precautions to prevent unauthorized use of or access to the Exchange System(s), including unauthorized entry of information into the Exchange System(s), or the information and data made available by the Exchange. The Sponsored User understands and agrees that it is responsible for any and all orders, trades and other messages and instructions entered, transmitted or received under identifiers, passwords and security codes of the Sponsored User and any person acting on behalf of or in the name of such Sponsored User, and for the trading and other consequences thereof.

(H) The Sponsored User acknowledges its responsibility for establishing adequate procedures and controls that permit it to effectively monitor use of and access to the Exchange System(s) by any person acting on behalf of or in the name of The Sponsored User for compliance with the terms of these sponsorship provisions.

(I) The Sponsored User agrees that it will pay when due all amounts, if any, payable to the Sponsoring Trading Permit Holder, the Exchange or any other third parties that arise from the Sponsored User's use of or access to the Exchange System(s). Such amounts include, but are not limited to, applicable Exchange and regulatory fees.

(iii) The Sponsored User and Sponsoring Trading Permit Holder must provide the Exchange with a Sponsored User Agreement acknowledging and agreeing to the requirements of this Rule, including an acknowledgement by the Sponsoring Trading Permit Holder of its responsibility for the orders, executions and actions of its Sponsored User. To the extent the Sponsoring Trading Permit Holder is not a clearing firm, the Sponsoring Trading Permit Holder's clearing firm, which must be a TPH organization, must provide the Exchange with a Letter of Authorization, which specifically accepts responsibility for the clearance of the Sponsored User's transactions. Upon approval by the Clearing Corporation, if applicable, and filing with the Exchange, an existing Letter of Authorization may be amended to include the Sponsoring Trading Permit Holder/Sponsored User relationship. Sponsored User Agreements and Letters of Authorization filed with the Exchange will remain in effect until a written notice of revocation has been filed with the TPH Department. If such a written notice of revocation has not been filed with the TPH Department at least one hour prior to the opening of trading on the particular business day, such revocation shall not become effective until the close of trading on such day. A revocation shall in no way relieve the Sponsoring Trading Permit Holder or, if applicable, the Sponsoring Trading Permit Holder's clearing firm of responsibility for transactions guaranteed prior to the effective date of the revocation.

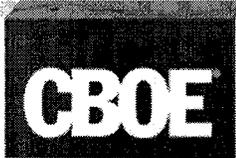
(2) Each Sponsoring Trading Permit Holder must maintain an up-to-date list of persons who may obtain access to the Exchange System(s) on behalf of its Sponsored Users (*i.e.*, Authorized Traders) and must provide that list to the Exchange upon request. In addition, each Sponsoring Trading Permit Holder must have reasonable procedures to ensure that Sponsored User and all of its Sponsored Users' Authorized Traders: (i) maintain the physical security of the Exchange and the System, which includes, but is not limited to, the equipment for accessing the facilities of the Exchange and the Exchanges System(s), to prevent the unauthorized use or access to the Exchange or the Exchange System(s), including the unauthorized entry of information into the Exchange or the Exchange System(s), or the information and data made available therein; and (ii) otherwise comply with the Exchange Rules. If the Exchange determines that a Sponsored User or an Authorized Trader has caused a Sponsoring Trading Permit Holder to violate the Exchange Rules, the Exchange may direct the Sponsoring Trading Permit Holder to suspend or withdraw the Sponsored User's status as a Sponsored User or the person's status as an Authorized Trader and, if so directed, the Sponsoring Trading Permit Holder must suspend or withdraw such status.

Adopted November 15, 2007 (06-99); amended April 10, 2008 (08-37); June 27, 2008 (08-54); June 18, 2010 (10-058).

. . . Interpretations and Policies:

.01 Sponsored Users shall be permitted for the following Exchange Systems: the FLEX Hybrid Trading System ("FLEX"), CBSX and CBOE. For FLEX and CBSX, the number of Sponsored Users shall be unlimited. Except for FLEX and CBSX, the number of Sponsored Users having electronic access to CBOE shall be limited to a total of 15 persons/entities ("Sponsored User Slots"). Sponsored User applications for the CBOE Sponsored User Slots shall be submitted to the Exchange's TPH Department in a manner acceptable to the Exchange and will be processed in the order they are received on a time-stamped basis. For applications received via facsimile or email the time-stamp shall be the time the email/facsimile is received by the TPH Department. If there are more Sponsored User applications than Sponsored User Slots, the Exchange will maintain a waitlist and use a First In, First Out ("FIFO") method for filling the 15 Sponsored User Slots. In the event a Sponsored User application is determined by the TPH Department to be incomplete, the application will not be considered to have been submitted under the FIFO method until a completed application is submitted.

Adopted June 27, 2008 (08-54); June 18, 2010 (10-058).



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Registration Services Department
400 S. LaSalle Street
Chicago, IL 60605
312-786-7449 - Phone
312-786-8140 - Fax
registration@cboe.com

APPLICATION FOR TRADING PERMIT HOLDER (TPH) ORGANIZATION

The appropriate fees and paperwork must accompany this application.

ALL APPLICATION FEES ARE NON-REFUNDABLE

- 1. Name: _____ Tax ID #: _____ - _____
[] Corporation (State of incorporation _____) [] Partnership (State of registration _____)
[] Limited Liability Company (LLC) (State of registration _____)
(Current articles of incorporation and bylaws, partnership agreement and registration certificate, or LLC operating agreement and registration certificate must be submitted with this application.)
2. E-mail Address: _____ Phone: _____
3. Mailing Address: _____
City: _____ State/Province: _____ Zip/Mail Code: _____
4. CBOE Clearing Trading Permit Holder issuing the guarantee for the organization's activity on CBOE:
Name: _____ OCC #: _____
5. Capacity in which you intend to act as a TPH organization (check at least one):
[] Market Maker [] Floor Broker [] Proprietary Trading Permit Holder [] Clearing Trading Permit Holder
[] *Transact Business with the Public [] *Order Service Firm * Application to qualify as such must be attached
6. Is the organization 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 the organization's BD # 8 - _____, CRD # _____ and Designated Examining Authority (DEA) _____
If no, the organization must complete Form BD and submit one copy with this application.

ORGANIZATION CONSENT TO JURISDICTION & CERTIFICATIONS

The organization hereby agrees to abide by the Bylaws and Rules of the Chicago Board Options Exchange (CBOE) as they shall be in effect from time to time.

The organization authorizes any governmental agency, national securities exchange, national securities association, commodities exchange or other entity to furnish to CBOE, upon its request, any information they may have concerning the organization, and the organization hereby releases each such entity from any and all liability of whatsoever nature by reason of furnishing such information to CBOE.

The organization authorizes CBOE to make available to any governmental agency, national securities exchange, commodities exchange or other entity (upon such entity's showing of proper authority and need) any information the CBOE may have concerning the organization, and the organization hereby releases CBOE from any and all liability of whatsoever nature by reason of furnishing such information

The organization certifies that all associated persons required to be fingerprinted have been fingerprinted and the organization affirms that it is not associated with a person subject to a statutory disqualification, unless any such individual's association is otherwise appropriately approved by an SRO.

The organization agrees to promptly update its application materials if any of the information provided in these materials becomes inaccurate or incomplete after the date of submission of its application to CBOE and prior to any approval of the application.

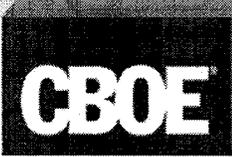
The organization recognizes that the statements in the application materials furnished to CBOE may be verified by investigation, and hereby declares that they are true, complete and accurate.

The organization agrees to be subject to the jurisdiction of the U.S. federal courts and Illinois state courts.

Name of Authorized Signatory of the Organization: _____

(Signature of Authorized Signatory of the Organization)

Title: _____ Date: _____



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400 S. LaSalle Street
Chicago, Illinois 60605
(312) 786-7449 - Phone
(312) 786-8140 - Fax
registration@cboe.com

**APPLICATION FOR A TRADING PERMIT HOLDER (TPH) ORGANIZATION
TO QUALIFY TO TRANSACT BUSINESS WITH THE PUBLIC**

Name of TPH Organization _____

- Applying as: Introducing Firm and/or Clearing TPH (See back page for required supplementary documentation.)
 Firm conducting an executing business of orders received directly from non-broker dealers
(See back page for required supplementary documentation.)

Broker/Dealer #: 8 - _____ CRD#: _____

Main Office Address _____

City _____ State _____ Zip Code _____

- Corporation Limited Liability Company Partnership

State the name and title of the person(s) engaged in the management of the organization's business pertaining to options and who must therefore qualify with the Exchange as Registered Options Principals:

Financial and Operations Principal (FINOP): Name _____

Phone # _____ Fax # _____ CRD # _____

Title _____ E-Mail _____

Name of Organization's Certified Public Accountant _____

Address _____

City _____ State _____ Zip Code _____

The undersigned recognizes that the statements herein (and in every supplementary sheet attached hereto) will be verified by investigation, and hereby declares that they are true, complete and accurate.

Name of Authorized Signatory of TPH Organization _____

(Signature of Authorized Signatory of TPH Organization)

Title _____ Date _____

Please submit the following information to CBOE Regulatory Services

For introducing firms and/or clearing trading permit holders:

1. List of registered options principals and registered representatives qualified for options trading.
2. List of branch office locations and branch office managers.
3. A copy of the method utilized for the allocation of exercise notices as sent to customers (if not included in the customer options agreement).
4. Blank copies of:
 - Customer information form
 - Option agreement
 - Discretionary trading authorization
 - New account form
 - Fully-disclosed and/or omnibus trading agreements
 - Transaction confirmation and account statement
 - Special Risk Disclosure Document for Uncovered Options
5. Copy of firm's options written supervisory procedures
6. A copy of the most recent net capital computation
7. Balance sheet
8. Income statement
9. A copy of the most recent audit report (if applicable).
10. Description of its Brokers' Blanket Bond arrangement

Indicate other exchange memberships currently held _____

For firms only conducting an execution business of orders received directly from non-broker/dealers:

1. List of registered options principals and registered representatives qualified for options trading.
2. Copy of execution/clearing agreement with customer and clearing TPH that customer account clears with.
3. Copy of firm's options written supervisory and order entry procedures.
4. A copy of the most recent net capital computation
5. Balance sheet
6. Income statement
7. A copy of the most recent audit report (if applicable).
8. Description of its Brokers' Blanket Bond arrangement.

Indicate other exchange memberships currently held _____



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Registration Services Department
400 South LaSalle Street
Chicago, Illinois 60605
312-786-7449 – Phone
312-786-8140 – Fax
registration@cboe.com

NOTIFICATION OF CHANGE IN NOMINEE STATUS

The following TPH Organization hereby gives notice to the Chicago Board Options Exchange, Incorporated (CBOE) of the following change(s) in nominee status and/or joint account participation to occur on

_____ (Effective Date).

TPH Organization Name: _____

Nominee Name: _____ Acronym: _____

Will change to Inactive Nominee Status from active nominee status; and if pre-approved by the Exchange, will become inactive as a participant in the following Joint Account(s):

The TPH Organization affirms that the trading badge of the inactive nominee that is required to be returned to the CBOE has been submitted to the CBOE Registration Services Department.

Nominee Name: _____ Acronym: _____

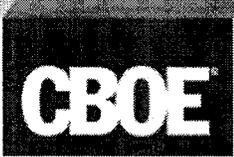
Will change to Active Nominee Status from inactive nominee status; and if pre-approved by the Exchange will become active as a participant in the following Joint Account(s):

Authorized Signature _____

Title _____ Date _____



Actual Time Completed _____ Permit# _____ Fee _____



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SINGLE ENTITY BROKER DEALER JOINT ACCOUNT ACTIVATION/TERMINATION

Joint Account Acronym(s): _____ / _____ / _____ / _____ / _____ / _____ / _____

- Regular
- Pre-approved
- DPM
- Pre-approved DPM

Effective Date: _____

Please take the designated action(s) with respect to the following trading permit holder participant(s):

Name (Acronym):

_____	(_____)	<input type="checkbox"/> Add	<input type="checkbox"/> Terminate
_____	(_____)	<input type="checkbox"/> Add	<input type="checkbox"/> Terminate
_____	(_____)	<input type="checkbox"/> Add	<input type="checkbox"/> Terminate
_____	(_____)	<input type="checkbox"/> Add	<input type="checkbox"/> Terminate
_____	(_____)	<input type="checkbox"/> Add	<input type="checkbox"/> Terminate
_____	(_____)	<input type="checkbox"/> Add	<input type="checkbox"/> Terminate

TPH Organization Name: _____

Name of Authorized Signatory of TPH Organization: _____

(Signature of Authorized Signatory of TPH Organization)

Title: _____ Date: _____

Clearing TPH OCC #: _____ Guarantee Received: _____ Fee Received: _____

Date e-mailed MMDPM Admin Dept. (if applicable): _____ DPM Admin Approval: _____

Representative is authorized to act on behalf of the TPH: Specialist Initials: _____ Date: _____



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(312) 786-8140 - Fax
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ORGANIZATION CONSENT TO JURISDICTION

The undersigned organization hereby agrees to abide by the Bylaws and Rules of the Chicago Board Options Exchange (CBOE) as they shall be in effect from time to time.

The undersigned organization authorizes any governmental agency, national securities exchange, national securities association, commodities exchange or other entity to furnish to CBOE, upon its request, any information they may have concerning the organization, and the organization hereby releases each such entity from any and all liability of whatsoever nature by reason of furnishing such information to CBOE.

The undersigned organization authorizes CBOE to make available to any governmental agency, national securities exchange, commodities exchange or other entity (upon such entity's showing of proper authority and need) any information CBOE may have concerning the organization, and the organization hereby releases CBOE from any and all liability of whatsoever nature by reason of furnishing such information.

The undersigned organization agrees to promptly update its application materials if any of the information provided in these materials becomes inaccurate or incomplete after the date of submission of its application to CBOE and prior to any approval of the application.

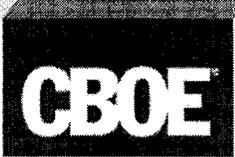
The undersigned organization recognizes that the statements in the application materials furnished to CBOE may be verified by investigation, and hereby declares that they are true, complete and accurate.

Name of Organization _____

Name of Authorized Signatory of the Organization _____

(Signature of Authorized Signatory of the Organization)

Title _____ Date _____



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**CLEARING TRADING PERMIT HOLDER
CONNECTIVITY GUARANTEE FOR LOGIN ACCESS**

Name of Clearing Trading Permit Holder

OCC #

Name of Trading Permit Holder

In accordance with Chicago Board Options Exchange (CBOE) Rule 3.28, Clearing Trading Permit Holder advises CBOE that it guarantees and assumes financial responsibility for all transactions on CBOE resulting from orders, bids, offers, and other messages that are transmitted through any login access to CBOE provided to the above-listed Trading Permit Holder. The Clearing Trading Permit Holder guarantees and assumes financial responsibility for such transactions on CBOE even if orders, bids, offers, or other messages transmitted to CBOE through the foregoing login access (i) were entered as a result of a failure in applicable security and/or credit controls, (ii) were entered by an unknown or unauthorized user, or (iii) exceeded Clearing Trading Permit Holder's credit parameters.

Name of Authorized Signatory of Clearing Trading Permit Holder

Title

Signature of Authorized Signatory of Clearing Trading Permit Holder

Date



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Registration Services Department
400 S. LaSalle Street
Chicago, Illinois 60605
(312) 786-7449 - Phone
(312) 786-8140 - Fax
registration@cboe.com

CBOE Login Request Form

Trading Permit Holder (TPH) Name _____ Number of Logins Requested _____
Country from which the login(s) will be utilized: _____
Name of organization utilizing the login(s): _____

Login ID(s) Requested: _____	OCC Clearing #: _____
If applicable, attach to Primary Login ID: _____	
Protocol: <input type="checkbox"/> CMI <input type="checkbox"/> FIX	Trading Function: <input type="checkbox"/> MM <input type="checkbox"/> FB <input type="checkbox"/> EA
Add to Drop Copy ID: <input type="checkbox"/> New <input type="checkbox"/> Existing _____	<input type="checkbox"/> Broker <input type="checkbox"/> Proprietary Trading <input type="checkbox"/> Transact Business with the Public
Contact Name: _____	
Contact Title: _____	
Contact Phone: _____	
Contact Email: _____	
Software Provider: _____	
Connectivity / Network Provider: _____	
Production Support / NOC Contact Number: _____	
Production Support / NOC Email: _____	

Please fill out the above information and email the completed form as an attachment to logins@cboe.com. CBOE Exchange personnel will contact you regarding your request.

Requests to cancel an existing login must be sent to logins@cboe.com.

Questions regarding connectivity may be directed to the API group at 312-786-7300 or API@cboe.com.

Questions regarding login ids may be directed to the Registration Services Department at 312-786-7449 or registration@cboe.com.

Signature of TPH Authorized Representative: _____

Authorized Representative's Name: _____

Authorized Representative's Title: _____ Date: _____

Representative is authorized to act on behalf of the TPH: Specialist Initials: _____ Date: _____

RSD Management Review: Initials: _____ Date: _____

From: (312) 786-7461
Donna Flaherty
CHICAGO BOARD OPTIONS EXCHANGE
400 South LaSalle
7th Floor
Chicago, IL 60605

Origin ID: GYYA



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Ship Date: 14APR15
ActWgt: 1.0 LB
CAD: 103713338/INET3610

Delivery Address Bar Code



SHIP TO: (202) 551-5491

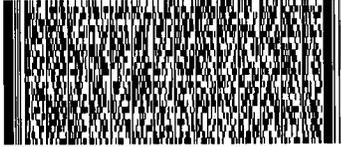
BILL SENDER

Chris Grobbel
Securities and Exchange Commission
Division of Trading and Markets
100 F. Street N.E.
Washington, DC 20549

Ref #
Invoice #
PO #
Dept #

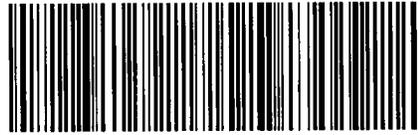
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PRIORITY OVERNIGHT

TRK# 7733 6856 5000
0201



XC YKNA

20549
DC-US
IAD



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To: Grobbel, Christoph

Department: HQ/TM

Phone: 202.551.5491

Route: HQ-7a

Mail Stop: 7010

Building: SP1

Package Type:

Sender Name:



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