



October 10, 2022

**Via Federal Express**

Mrs. Jeanette Jackson  
Securities and Exchange Commission  
Division of Trading and Markets  
100 F Street, N.E.  
Mail Stop 6628  
Washington, DC 20549-0001

Re: ***Cboe Exchange, Inc.  
Form 1 Amendment***

Dear Mrs. Jackson:

On behalf of Cboe Exchange, Inc. (the "Exchange"), and in connection with the Cboe Form 1 that is on file with the Securities and Exchange Commission ("Commission"), enclosed please find one original and two copies of the Execution Page to Form 1 as well as the following exhibit<sup>1</sup>:

- Exhibit C (updated to reflect list of Directors and Committee Members);

This amendment is filed in accordance with SEC Rule 6a-2 and is intended to replace Exhibit C currently on file with the Commission. Please do not hesitate to contact me if you have any questions or require anything further.

Sincerely,

A handwritten signature in cursive script that reads "Kyle Murray".

Kyle Murray  
VP, Associate General Counsel  
913-815-7121  
Signature executed at 11:00am on 10/10/22

Enclosure

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<sup>1</sup> See Attachment for a comprehensive list of updates to Exhibit C

## **Attachment**

### *Summary of changes made to Exhibit C:*

- Chi-X Asia Pacific Holdings Limited changed name to Cboe Asia Pacific Holdings Limited
- Chi-X Global Technology (Honh Kong) Limited changed name to Cboe Technology Hong Kong Limited
- Chi-X Australia Pty Ltd changed name to Cboe Australia Pty Ltd
- Chi-X Japan Limited changed name to Cboe Japan Limited
- Chi-X Global Technology (Philippines) Inc. changed name to Cboe Technology Philippines Inc.
- Eris Exchange, LLC changed name to Cboe Digital Exchange, LLC
- Eris Digital Holdings, LLC changed name to Cboe Digital Intermediate Holdings, LLC
- Eris Clearing, LLC changed name to Cboe Clear Digital, LLC
- Eris Clearing Holdings, LLC changed name to Cboe Clear Digital Holdings, LLC

**\*Based upon relief from the Commission staff and difficulties arising from COVID-19, we are making this filing without notarization. This document has been signed electronically.**

Form 1 Page 1 Execution Page	<b>U.S. SECURITIES AND EXCHANGE COMMISSION</b> <b>WASHINGTON, D.C. 20549</b>  <b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION</b> <b>FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE</b> <b>OR EXEMPTION FROM REGISTRATION PURSUANT TO</b> <b>SECTION 5 OF THE EXCHANGE ACT</b>	Date filed (MM/DD/YY)  <b>10/10/22</b>	OFFICIAL USE ONLY
WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action.			
INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS			
<input type="checkbox"/> APPLICATION <span style="margin-left: 200px;"><input checked="" type="checkbox"/> AMENDMENT</span>			
1. State the name of the applicant: <u>Cboe Exchange, Inc.</u>			
2. Provide the applicant's primary street address (Do not use a P.O. Box): <u>433 W Van Buren Steet</u> <u>Chicago, Illinois 60661</u> <div style="float: right; text-align: center;">             22005652         </div>			
3. Provide the applicant's mailing address (if different): _____ _____			
4. Provide the business telephone and facsimile number: <u>(913) 815-7000</u> <span style="margin-left: 150px;"><u>(913) 815-7119</u></span> (Telephone) <span style="margin-left: 150px;">(Facsimile)</span>			
5. Provide the name, title and telephone number of a contact employee: <u>Kyle Murray</u> <span style="margin-left: 20px;">VP, Associate General Counsel,</span> <u>Cboe Exchange, Inc.</u> <span style="margin-left: 20px;"><u>(913) 815-7121</u></span> (Name) <span style="margin-left: 100px;">(Title)</span> <span style="margin-left: 100px;">(Telephone Number)</span>			
6. Provide the name and address of counsel for the applicant: <u>Pat Sexton</u> <u>433 W Van Buren Street</u> <u>Chicago, IL 60661</u>			
7. Provide the date that applicant's fiscal year ends: <u>December 31</u>			
8. Indicate legal status of the applicant: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Sole Partnership <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Other (specify): _____			
If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed): (a) Date (MM/DD/YY): <u>11/01/07</u> (b) State/Country of formation: <u>Delaware/United States of America</u> (c) Statute under which applicant was organized: <u>General Corporation Law of the State of Delaware</u>			
<b>EXECUTION:</b> The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statement contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete.			
Date: <u>10/10/22</u> <span style="margin-left: 150px;"><u>Cboe Exchange, Inc.</u></span> (MM/DD/YY) <span style="margin-left: 150px;">(Name of Applicant)</span>			
By: <u>Kyle Murray</u> [signature executed at 11:00am on 10/10/22] <span style="margin-left: 50px;"><u>Kyle Murray, VP, Associate General Counsel</u></span> (Signature) <span style="margin-left: 100px;">(Printed Name and Title)</span>			
Subscribed and sworn before me this <u>see header</u> day of <u>see header</u> , <u>see header</u> by <u>see header</u> (Month) <span style="margin-left: 50px;">(Year)</span> <span style="margin-left: 50px;">(Notary Public)</span>			
My Commission expires <u>see header</u> County of <u>see header</u> State of <u>see header</u>			
<b>This page must always be completed in full with original, manual signature and notarization.</b> <b>Affix notary stamp or seal where applicable.</b>			

**Exhibit C**

**Exhibit Request:**

For each subsidiary or affiliate of the applicant, and for any entity with whom the applicant has a contractual or other agreement relating to the operation of an electronic trading system to be used to effect transactions on the exchange (“System”), provide the following information:

1. Name and address of organization.
2. Form of organization (e.g., association, corporation, partnership, etc.).
3. Name of state and statute citation under which organized. Date of incorporation in present form.
4. Brief description of nature and extent of affiliation.
5. Brief description of business or functions. Description should include responsibilities with respect to operation of the System and/or execution, reporting, clearance, or settlement of transactions in connection with operation of the System.
6. A copy of the constitution.
7. A copy of the articles of incorporation or association including all amendments.
8. A copy of existing by-laws or corresponding rules or instruments.
9. The name and title of the present officers, governors, members of all standing committees or persons performing similar functions.
10. An indication of whether such business or organization ceased to be associated with the applicant during the previous year, and a brief statement of the reasons for termination of the association.

**Response:** Please see below responses for the following entities:

**A. Bats Global Markets Holdings, Inc.**

1. *Name:* Bats Global Markets Holdings, Inc.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on June 29, 2007.
4. *Brief description of nature and extent of affiliation:* Cboe Bats, LLC owns 100% of the membership interests of Bats Global Markets Holdings, Inc. Bats Global Markets Holdings, Inc. is the Exchange's 100% owner.
5. *Brief description of business or functions:* Bats Global Markets Holdings, Inc. is an intermediate holding company. Bats Global Markets Holdings, Inc. is the intermediate holding company for Omicron Acquisition Corp., Cboe BZX Exchange, Inc., Cboe BYX Exchange, Inc., Cboe Trading, Inc., and Cboe FX Holdings, LLC.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Brittany Carter (Vice President, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Jeff Connell (Vice President, Deputy Chief Regulatory Officer)
- Brent Coonrod (Vice President, Software Engineering)
- Chris Isaacson (Executive Vice President and Chief Operating Officer)
- Emily Mitchell (Vice President, Tax)
- Kyle Murray (Vice President, Associate General Counsel)
- Hemang Patel (Vice President, Project Management)
- Steven Sinclair (Vice President, Software Engineering)
- Allen Wilkinson (Vice President and Controller)
- Troy Yeazel (Senior Vice President, Operations)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Heidi Zenger (VP, Internal Audit)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**B. Direct Edge LLC**

1. *Name: Direct Edge LLC*  
*Address: 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214*
2. *Form of organization: Limited Liability Company.*
3. *Name of state, statute under which organized and date of incorporation: Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on December 31, 2014. Was converted from Direct Edge, Inc., a Delaware corporation, on December 31, 2014.*
4. *Brief description of nature and extent of affiliation: Cboe Bats, LLC owns 100% of the membership interests of Direct Edge LLC.*
5. *Brief description of business or functions: Direct Edge LLC is an intermediate holding company. Direct Edge LLC is the sole shareholder of Cboe EDGA Exchange, Inc. and Cboe EDGX Exchange, Inc.*
6. *Copy of constitution: Not applicable.*
7. *Copy of articles of incorporation or association and amendments: No changes.*
8. *Copy of existing by-laws or corresponding rules or instruments: No changes.*
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year: Not applicable.*

**C. Cboe BZX Exchange, Inc.**

1. *Name:* Cboe BZX Exchange, Inc.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on November 1, 2007.
4. *Brief description of nature and extent of affiliation:* Cboe BZX Exchange, Inc. is wholly-owned by Bats Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* Cboe BZX Exchange, Inc. operates as a registered national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Bruce Andrews
- Alexander Matturri
- Kevin Murphy
- David Roscoe
- Scott Wagner

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (SVP, Chief Compliance Officer)
- Carmen Brannan (VP, Government Relations)
- Kevin Carrai (VP, Market Data and Access Services)
- Brittany Carter (VP, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Bo Chung (SVP, Global Head of Sales & Index Licensing)
- Catherine Clay (EVP, Head of Data and Access Solutions)
- Gary Compton (VP, Communications)
- Jeff Connell (VP, Deputy Chief Regulatory Officer)
- Brent Coonrod (VP, Software Engineering)

## Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C

- Arianne Criqui (SVP, Head of Options and Global Client Services)
- Gina DeRaimo (VP, Derivatives Institute)
- John Deters (EVP, Chief Strategy Officer)
- Laura Dickman (VP, Associate General Counsel)
- James Enstrom (SVP, & Chief Audit Exec)
- Angelo Evangelou (SVP, Chief Policy Officer)
- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (VP, Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebnow (SVP & Chief Accounting Officer)
- John Hiatt (VP, Product Development)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Gregory Hoogasian (EVP, Chief Regulatory Officer)
- Adam Inzirillo (SVP, Head of North American Equities)
- Chris Isaacson (EVP, COO)
- Jennifer Lamie (VP, Chief Regulatory Advisor)
- Andrew Lowenthal (SVP, International Expansion and Business Development)
- Marc Magrini (VP, Administration)
- Stephanie Marrin Lara (Vice President, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)
- Anthony Montesano (VP, TSD and Membership Services)
- Kyle Murray (VP and Associate General Counsel)
- Dennis O'Callahan (VP, Multi-Asset Product Development)
- Dan Overmyer (VP, Options Regulation)
- Hemang Patel (VP, Project Management)
- Arthur Reinstein (SVP & Deputy General Counsel)
- Brian Schell (EVP, CFO, & Treasurer)
- Curt Schumacher (VP, Infrastructure)
- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Steven Sinclair (VP, Systems Development)
- Eileen Smith (VP, Data and Analytics)
- Allen Wilkinson (VP and Controller)
- Omarr Woodhouse (VP, Operations)
- Troy Yeazel (SVP, Operations)
- Umesh, Yerram (VP, Chief Information Security Officer)

### Standing Committees

### Executive Committee

- Ed Tilly
- Bruce Andrews
- Kevin Murphy

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- David Roscoe
- Alexander Matturri, Jr.
- Scott Wagner

Regulatory Oversight Committee

- Scott Wagner
- Bruce Andrews
- David Roscoe

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**D. Cboe BYX Exchange, Inc.**

1. *Name:* Cboe BYX Exchange, Inc.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on July 31, 2009.
4. *Brief description of nature and extent of affiliation:* Cboe BYX Exchange, Inc. is wholly-owned by Bats Global Markets Holdings, Inc., which is also the Exchange's 100% owner. Cboe BYX Exchange, Inc. is a wholly-owned subsidiary of Cboe Global Markets, Inc. that operates as a U.S. securities exchange.
5. *Brief description of business or functions:* Cboe BYX Exchange, Inc. operates as a registered national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Bruce Andrews
- Alexander Matturri, Jr.
- Kevin Murphy
- David Roscoe
- Scott Wagner

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (SVP, Chief Compliance Officer)
- Carmen Brannan (VP, Government Relations)
- Kevin Carrai (VP, Market Data and Access Services)
- Brittany Carter (VP, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Bo Chung (SVP, Global Head of Sales & Index Licensing)
- Catherine Clay (EVP, Head of Data and Access Solutions))
- Gary Compton (VP, Communications)

## Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C

- Jeff Connell (VP, Deputy Chief Regulatory Officer)
- Brent Coonrod (VP, Software Engineering)
- Arianne Criqui (SVP, Head of Options and Global Client Services)
- Gina DeRaimo (VP, Derivatives Institute)
- John Deters (EVP, Chief Strategy Officer)
- Laura Dickman (VP, Associate General Counsel)
- James Enstrom (SVP, & Chief Audit Exec)
- Angelo Evangelou (SVP, Chief Policy Officer)
- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (VP, Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebnow (SVP & Chief Accounting Officer)
- John Hiatt (VP, Product Development)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Gregory Hoogasian (EVP, Chief Regulatory Officer)
- Adam Inzirillo (SVP, Head of North American Equities)
- Chris Isaacson (EVP, COO)
- Jennifer Lamie (VP, Chief Regulatory Advisor)
- Andrew Lowenthal (SVP, International Expansion and Business Development)
- Marc Magrini (VP, Administration)
- Stephanie Marrin Lara (Vice President, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)
- Anthony Montesano (VP, TSD and Membership Services)
- Kyle Murray (VP and Associate General Counsel)
- Dennis O'Callahan (VP, Multi-Asset Product Development)
- Dan Overmyer (VP, Options Regulation)
- Hemang Patel (VP, Project Management)
- Arthur Reinstein (SVP & Deputy General Counsel)
- Brian Schell (EVP, CFO, & Treasurer)
- Curt Schumacher (VP, Infrastructure)
- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Steven Sinclair (VP, Systems Development)
- Eileen Smith (VP, Data and Analytics)
- Allen Wilkinson (VP and Controller)
- Omarr Woodhouse (VP, Operations)
- Troy Yeazel (SVP, Operations)
- Umesh, Yerram (VP, Chief Information Security Officer)

### Standing Committees

### Executive Committee

- Ed Tilly

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Bruce Andrews
- Kevin Murphy
- David Roscoe
- Alexander Matturri, Jr.
- Scott Wagner

Regulatory Oversight Committee

- Scott Wagner
- Bruce Andrews
- David Roscoe

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**E. Cboe EDGA Exchange, Inc.**

1. *Name:* Cboe EDGA Exchange, Inc.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under the General Corporation Law of the State of Delaware on March 9, 2009.
4. *Brief description of nature and extent of affiliation:* Cboe EDGA Exchange, Inc. is an indirect wholly-owned subsidiary of Cboe Global Markets, Inc., the Exchange's ultimate parent.
5. *Brief description of business or functions:* Cboe EDGA Exchange, Inc. operates a registered national securities exchange pursuant to Section 6 of the Securities Exchange Act of 1934.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Bruce Andrews
- Alexander Matturri, Jr.
- Kevin Murphy
- David Roscoe
- Scott Wagner

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (SVP, Chief Compliance Officer)
- Carmen Brannan (VP, Government Relations)
- Kevin Carrai (VP, Market Data and Access Services)
- Brittany Carter (VP, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Bo Chung (SVP, Global Head of Sales & Index Licensing)
- Catherine Clay (EVP, Head of Data and Access Solutions))
- Gary Compton (VP, Communications)
- Jeff Connell (VP, Deputy Chief Regulatory Officer)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Brent Coonrod (VP, Software Engineering)
- Arianne Criqui (SVP, Head of Options and Global Client Services)
- Gina DeRaimo (VP, Derivatives Institute)
- John Deters (EVP, Chief Strategy Officer)
- Laura Dickman (VP, Associate General Counsel)
- James Enstrom (SVP, & Chief Audit Exec)
- Angelo Evangelou (SVP, Chief Policy Officer)
- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (VP, Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebnow (SVP & Chief Accounting Officer)
- John Hiatt (VP, Product Development)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Gregory Hoogasian (EVP, Chief Regulatory Officer)
- Adam Inzirillo (SVP, Head of North American Equities)
- Chris Isaacson (EVP, COO)
- Jennifer Lamie (VP, Chief Regulatory Advisor)
- Andrew Lowenthal (SVP, International Expansion and Business Development)
- Marc Magrini (VP, Administration)
- Stephanie Marrin Lara (Vice President, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)
- Anthony Montesano (VP, TSD and Membership Services)
- Kyle Murray (VP and Associate General Counsel)
- Dennis O'Callahan (VP, Multi-Asset Product Development)
- Dan Overmyer (VP, Options Regulation)
- Hemang Patel (VP, Project Management)
- Arthur Reinstein (SVP & Deputy General Counsel)
- Brian Schell (EVP, CFO, & Treasurer)
- Curt Schumacher (VP, Infrastructure)
- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Steven Sinclair (VP, Systems Development)
- Eileen Smith (VP, Data and Analytics)
- Allen Wilkinson (VP and Controller)
- Omarr Woodhouse (VP, Operations)
- Troy Yeazel (SVP, Operations)
- Umesh, Yerram (VP, Chief Information Security Officer)

Standing Committees

Executive Committee

- Ed Tilly
- Bruce Andrews

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Kevin Murphy
- David Roscoe
- Alexander Matturri, Jr.
- Scott Wagner

Regulatory Oversight Committee

- Scott Wagner
- Bruce Andrews
- David Roscoe

- 10.** *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**F. Cboe EDGX Exchange, Inc.**

1. *Name:* Cboe EDGX Exchange, Inc.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under the General Corporation Law of the State of Delaware on March 9, 2009.
4. *Brief description of nature and extent of affiliation:* Cboe EDGX Exchange, Inc. is an indirect wholly-owned subsidiary of Cboe Global Markets, Inc., the Exchange's ultimate parent.
5. *Brief description of business or functions:* Cboe EDGX Exchange, Inc. operates a registered national securities exchange pursuant to Section 6 of the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Bruce Andrews
- Alexander Matturri, Jr.
- Kevin Murphy
- David Roscoe
- Scott Wagner

Current Officers

- Dave Howson (President)
- Ed Tilly (Chief Executive Officer)
- Alexandra Albright (SVP, Chief Compliance Officer)
- Carmen Brannan (VP, Government Relations)
- Kevin Carrai (VP, Market Data and Access Services)
- Brittany Carter (VP, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Bo Chung (SVP, Global Head of Sales & Index Licensing)
- Catherine Clay (EVP, Head of Data and Access Solutions))
- Gary Compton (VP, Communications)
- Jeff Connell (VP, Deputy Chief Regulatory Officer)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Brent Coonrod (VP, Software Engineering)
- Arianne Criqui (SVP, Head of Options and Global Client Services)
- Gina DeRaimo (VP, Derivatives Institute)
- John Deters (EVP, Chief Strategy Officer)
- Laura Dickman (VP, Associate General Counsel)
- James Enstrom (SVP, & Chief Audit Exec)
- Angelo Evangelou (SVP, Chief Policy Officer)
- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (VP, Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebnow (SVP & Chief Accounting Officer)
- John Hiatt (VP, Product Development)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Gregory Hoogasian ((EVP, Chief Regulatory Officer)
- Adam Inzirillo (SVP, Head of North American Equities)
- Chris Isaacson (EVP, COO)
- Jennifer Lamie (VP, Chief Regulatory Advisor)
- Andrew Lowenthal (SVP, International Expansion and Business Development)
- Marc Magrini (VP, Administration)
- Stephanie Marrin Lara (Vice President, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)
- Anthony Montesano (VP, TSD and Membership Services)
- Kyle Murray (VP and Associate General Counsel)
- Dennis O'Callahan (VP, Multi-Asset Product Development)
- Dan Overmyer (VP, Options Regulation)
- Hemang Patel (VP, Project Management)
- Arthur Reinstein (SVP & Deputy General Counsel)
- Brian Schell (EVP, CFO, & Treasurer)
- Curt Schumacher (VP, Infrastructure)
- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Steven Sinclair (VP, Systems Development)
- Eileen Smith (VP, Data and Analytics)
- Allen Wilkinson (VP and Controller)
- Omarr Woodhouse (VP, Operations)
- Troy Yeazel (SVP, Operations)
- Umesh, Yerram (VP, Chief Information Security Officer)

Standing Committees

Executive Committee

- Ed Tilly
- Bruce Andrews

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Kevin Murphy
- David Roscoe
- Alexander Matturri, Jr.
- Scott Wagner

Regulatory Oversight Committee

- Scott Wagner
- Bruce Andrews
- David Roscoe

Indemnity Committee

- Ed Tilly

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**G. Cboe C2 Exchange, Inc.**

1. *Name:* Cboe C2 Exchange, Inc.  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware General Corporation Law (8 Del. C. § 101, et seq), July 21, 2009.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Cboe C2 Exchange, Inc. is a registered national securities exchange.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Bruce Andrews
- Alexander Matturri, Jr.
- Kevin Murphy
- David Roscoe
- Scott Wagner

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (SVP, Chief Compliance Officer)
- Carmen Brannan (VP, Government Relations)
- Kevin Carrai (VP, Market Data and Access Services)
- Brittany Carter (VP, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Bo Chung (SVP, Global Head of Sales & Index Licensing)
- Catherine Clay (EVP, Head of Data and Access Solutions))
- Gary Compton (VP, Communications)
- Jeff Connell (VP, Deputy Chief Regulatory Officer)
- Brent Coonrod (VP, Software Engineering)

## Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C

- Arianne Criqui (SVP, Head of Options and Global Client Services)
- Gina DeRaimo (VP, Derivatives Institute)
- John Deters (EVP, Chief Strategy Officer)
- Laura Dickman (VP, Associate General Counsel)
- James Enstrom (SVP, & Chief Audit Exec)
- Angelo Evangelou (SVP, Chief Policy Officer)
- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (VP, Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebnow (SVP & Chief Accounting Officer)
- John Hiatt (VP, Product Development)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Gregory Hoogasian (EVP, Chief Regulatory Officer)
- Adam Inzirillo (SVP, Head of North American Equities)
- Chris Isaacson (EVP, COO)
- Jennifer Lamie (VP, Chief Regulatory Advisor)
- Andrew Lowenthal (SVP, International Expansion and Business Development)
- Marc Magrini (VP, Administration)
- Stephanie Marrin Lara (Vice President, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)
- Anthony Montesano (VP, TSD and Membership Services)
- Kyle Murray (VP and Associate General Counsel)
- Dennis O'Callahan (VP, Multi-Asset Product Development)
- Dan Overmyer (VP, Options Regulation)
- Hemang Patel (VP, Project Management)
- Arthur Reinstein (SVP & Deputy General Counsel)
- Brian Schell (EVP, CFO, & Treasurer)
- Curt Schumacher (VP, Infrastructure)
- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Steven Sinclair (VP, Systems Development)
- Eileen Smith (VP, Data and Analytics)
- Allen Wilkinson (VP and Controller)
- Omarr Woodhouse (VP, Operations)
- Troy Yeazel (SVP, Operations)
- Umesh, Yerram (VP, Chief Information Security Officer)

### Standing Committees

#### Executive Committee

- Ed Tilly
- Bruce Andrews
- Kevin Murphy

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- David Roscoe
- Alexander Matturri, Jr.
- Scott Wagner

Regulatory Oversight Committee

- Scott Wagner
- Bruce Andrews
- David Roscoe

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**H. Cboe Trading, Inc.**

1. *Name:* Cboe Trading, Inc.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on June 16, 2005.
4. *Brief description of nature and extent of affiliation:* Cboe Trading, Inc. is wholly-owned by Bats Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* Cboe Trading, Inc. is a broker-dealer registered as such with the Securities and Exchange Commission and a member of the Financial Industry Regulatory Authority and other self-regulatory organizations. Cboe Trading, Inc. provides routing of orders from the Exchange Cboe BYX Exchange, Inc., Cboe EDGA Exchange, Inc. and Cboe EDGX Exchange, Inc. to other securities exchanges, facilities of securities exchanges, automated trading systems, electronic communication networks or other broker-dealers.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Chris Isaacson
- Brian Schell

Current Officers

- Troy Yeazel (President)
- Sydney Goodman (Treasurer/FINOP)
- Bryan Upp (Chief Compliance Officer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (Treasurer, FINOP)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**I. Omicron Acquisition Corp.**

1. *Name:* Omicron Acquisition Corp.  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on February 7, 2011.
4. *Brief description of nature and extent of affiliation:* Omicron Acquisition Corp. is wholly-owned by Bats Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Omicron Acquisition Corp. is an intermediate holding company of Cboe Worldwide Holdings Limited.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**J. Cboe FX Holdings, LLC**

1. *Name:* Cboe FX Holdings, LLC  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on May 15, 2000.
4. *Brief description of nature and extent of affiliation:* Cboe FX Holdings, LLC is wholly-owned by Bats Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe FX Holdings, LLC is an intermediate holding company of Cboe FX Markets, LLC, Cboe FX Services, LLC, and Cboe SEF, LLC.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**K. Cboe FX Markets, LLC**

1. *Name:* Cboe FX Markets, LLC  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in New Jersey under Section 42 of the Limited Liability Company Act of the State of New Jersey on August 7, 2001.
4. *Brief description of nature and extent of affiliation:* Cboe FX Markets, LLC is wholly-owned by Cboe FX Holdings, LLC, which is wholly-owned by Bats Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe FX Markets, LLC operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Chief Compliance Officer)
- John Deters (EVP, Chief Strategy Officer and Head of Multi-Asset Solutions)
- James Enstrom (SVP, Chief Audit Executive)
- Todd Furney (Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebenow (SVP & Chief Accounting Officer)
- Greg Hoogasian (SVP, Chief Regulatory Officer)
- Chris Isaacson (EVP)
- Andrew Lowenthal (EVP, International Expansion and Business Development)
- Stephanie Marrin Lara (Deputy Chief Regulatory Officer)
- Brian Schell (EVP, CFO and Treasurer)
- J. Patrick Sexton (EVP, General Counsel, and Corporate Secretary)
- Jonathan Weinberg (Vice President, Head of FX)
- Allen Wilkinson (VP and Controller)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Vivian Yiu (VP, FX Chief Operating Officer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**L. Cboe FX Services, LLC**

1. *Name:* Cboe FX Services, LLC  
*Address:* 8050 Marshall Dr., Ste. 120, Lenexa, KS 66214
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in New Jersey under Section 42 of the Limited Liability Company Act of the State of New Jersey on November 22, 2004.
4. *Brief description of nature and extent of affiliation:* Cboe FX Services, LLC is wholly-owned by Cboe FX Holdings, LLC, which is wholly-owned by Bats Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe FX Services, LLC operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Ed Tilly (President and Chief Executive Officer)
  - Barry Calder (Head of Liquidity & Client Services)
  - Jill Griebenow (Vice President)
  - Chris Isaacson (Vice President)
  - Andrew Lowenthal (Vice President)
  - Emily Mitchell (Vice President)
  - Brian Schell (Treasurer)
  - J. Patrick Sexton (Secretary)
  - Allen Wilkinson (VP and Controller)
10. Indication of whether such business or organization ceased to be associated with the applicant during previous year: Not applicable.

**M. Cboe FX Europe Limited**

1. *Name:* Cboe FX Europe Limited  
*Address:* 11 Monument Street, London, EC3R 8AF, United Kingdom
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in England and Wales under the Companies Act 1985 on February 5, 2015.
4. *Brief description of nature and extent of affiliation:* Cboe FX Europe Limited is wholly-owned by Cboe Worldwide Holdings Limited, which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe FX Europe Limited operates an institutional spot foreign exchange market.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ed Tilly
  - Dave Howson  
Current Officers
  - Karl Spielmann (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**N. Cboe FX Asia Pte. Limited**

1. *Name:* Cboe FX Asia Pte. Limited  
*Address:* Marina Blvd. #28-00, One Marina Boulevard, Singapore (049318)
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Singapore under the Companies Act (Cap. 50) on February 23, 2015.
4. *Brief description of nature and extent of affiliation:* Cboe FX Asia Pte. Limited is wholly-owned by Cboe Worldwide Holdings Limited which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe FX Asia Pte. Limited operates an institutional spot foreign exchange market.
6. *Copy of constitution:* No changes.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ed Tilly
  - Ng Lip Chih (Singapore Nominee)  
Current Officers
  - Ed Tilly (President)
  - Ang Yee Koon Daphne, Secretary (Allen & Gledhill)
  - Tan Zhe Lei, Secretary (Allen & Gledhill)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**O. Cboe Europe Limited**

1. *Name:* Cboe Europe Limited  
*Address:* 5<sup>th</sup> Floor, The Monument Building, London, EC3R 8AF, United Kingdom
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in England and Wales under the Companies Act 1985 on March 28, 2008.
4. *Brief description of nature and extent of affiliation:* Cboe Europe Limited is wholly-owned by Cboe Worldwide Holdings Limited, which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe Europe Limited is recognized as a Recognized Investment Exchange in the United Kingdom under the Financial Services and Markets Act 2000 (“FSMA”). It operates a platform for trading of European equity securities.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Richard Balarkas (INED)
- Eleanor Beasley (Observer)
- Angelo Evangelou (Executive)
- Rebecca Fuller (INED), Chair
- Ted Hood (INED)
- Dave Howson (Executive Director)
- Catherine Langlais
- David Lawton
- Irina Sonich-Bright
- Natan Tiefenbrun
- Kristian West (NED)

Current Officers

- Dave Howson (Chief Executive Officer)
- Jerry Avenell (Vice President, Sales)
- Alex Dalley (Vice President, Sales)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Nick Dutton (Chief Regulatory Officer)
- Angelo Evangelou (Chief Policy Officer)
- Tim Lipscomb (Chief Operations Officer)
- Stephanie Renner (Chief Financial Officer)
- Irina Sonich-Bright (Product Manager)
- Karl Spielmann (Chief Legal Officer)
- Natan Tiefenbrun (Head of Equities)

Standing Committees

Audit, Risk and Compliance Committee

- Richard Balarkas
- Ted Hood
- Catherine Langlais
- David Lawton

Remuneration Committee

- Rebecca Fuller
- Ted Hood
- Kristian West

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**P. Cboe Chi-X Europe Limited**

1. *Name:* Cboe Chi-X Europe Limited  
*Address:* 5<sup>th</sup> Floor, The Monument Building, London, EC3R 8AF, United Kingdom
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:* Incorporated in England and Wales.
4. *Brief description of nature and extent of affiliation:* Cboe Chi-X Europe Limited is wholly-owned by Cboe Europe Limited which, in turn, is indirectly wholly owned by Bats Global Markets, Inc.
5. *Brief description of business or functions:* Cboe Chi-X Europe Limited is authorized in the United Kingdom under the Financial Services and Markets Act 2000 (“FSMA”), as an investment firm. Between April 30, 2012 and May 20, 2013 it was a dormant company. Since May 20, 2013, Cboe Chi-X Europe Limited operates the smart order router that is needed for the routing strategies deployed by Cboe Europe Limited. As of November 2018 this company remains dormant.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Dave Howson
- Nick Dutton
- Karl Spielmann
- Jon Weinberg

Current Officers

- Dave Howson (Chief Executive Officer)
- Stephanie Renner (Chief Financial Officer)
- Karl Spielmann (Secretary)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**Q. Cboe SEF, LLC**

1. *Name:* Cboe SEF, LLC  
*Address:* 17 State Street, 31<sup>st</sup> Floor, New York, NY 10004
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:* Formed in Delaware under Section 201 of the Limited Liability Company Act of the State of Delaware on April 19, 2012.
4. *Brief description of nature and extent of affiliation:* Cboe SEF, LLC is wholly-owned by Cboe FX Holdings LLC, which is wholly-owned by Bats Global Markets Holdings, Inc., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe SEF, LLC is a swap execution facility registered with the Commodity Futures Trading Association, which will soon list non-deliverable foreign exchange forwards for trading.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Senior Vice President and Chief Compliance Officer)
- Brittany Carter (VP, Financial Planning and Analysis)
- Gary Compton (Vice President, Communications)
- John Deters (EVP, Chief Strategy Officer)
- James Enstrom (Senior Vice President & Chief Audit Executive)
- Angelo Evangelou (SVP, Chief Policy Officer)
- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (VP, and Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebenow (SVP & Chief Accounting Officer)
- Gregory Hoogasian (Senior Vice President & Chief Regulatory Officer)
- Dave Howson (EVP & President, Cboe Europe and Asia Pacific)
- Chris Isaacson (Executive Vice President & COO)
- Andrew Lowenthal (Senior Vice President, International Expansion and Business Development)
- Stephanie Marrin Lara (Vice President, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Brian Schell (Executive Vice President, Chief Financial Officer & Treasurer)
- Jon Weinberg (Vice President, Head of FX)
- Allen Wilkinson (VP and Controller)
- Umesh Yerram (VP, Chief Information Security Officer)
- Vivian Yiu (Vice President, FX Chief Operating Officer)

Board of Managers

- Chris Isaacson (Chairman of the Board)
- Gilbert Bassett, Jr.
- Ananda K. Radhakrishnan
- Miguel A. Rivera
- Jill Sommers

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**R. Cboe Worldwide Holdings Limited**

1. *Name:* Cboe Worldwide Holdings Limited  
*Address:* 11 Monument Street, London, EC3R 8AF, United Kingdom
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in England and Wales under the Companies Act 2006 on November 9, 2016.
4. *Brief description of nature and extent of affiliation:* Cboe Worldwide Holdings Limited is wholly-owned by Omicron Acquisition Corp., which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Cboe Worldwide Holdings Limited is an intermediate holding company of Cboe Europe Limited, Cboe Hong Kong Limited, Cboe UK Limited, and Cboe FX Asia Pte. Limited.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ed Tilly
  - Dave Howson  
Current Officers
  - Karl Spielmann (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**S. Cboe Global Markets, Inc.**

1. *Name:* Cboe Global Markets, Inc.  
*Address:* 433 W. Van Buren St., Chicago, Illinois 60607
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware General Corporation Law (8 Del. C. §101, et seq), August 15, 2006.
4. *Brief description of nature and extent of affiliation:* Cboe Global Markets, Inc. is one of the world's largest exchange holding companies, offering cutting-edge trading and investment solutions to investors around the world.
5. *Brief description of business or functions:* Holding company.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- William Farrow
- Edward Fitzpatrick
- Ivan Fong
- Janet Froetscher
- Jill Goodman
- Alexander Matturi
- Jennifer McPeck
- Roderick Palmore
- James Parisi
- Joe Ratterman
- Jill Sommers
- Eugene Sunshine
- Fredric Tomczyk

Current Officers

- Ed Tilly (Chief Executive Officer)
- Catherine Clay (EVP, Head of Data and Access Solutions)
- John Deters (EVP, Chief Strategy Officer)
- Jill Griebenow (SVP & Chief Accounting Officer)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Dave Howson (EVP, President Europe and Asia Pacific)
- Chris Isaacson (EVP and COO)
- Brian Schell (EVP F&A/CFO)
- J. Patrick Sexton (EVP, General Counsel and Corporate Secretary)

Compensation Committee

- Janet Froetscher
- Edward Fitzpatrick
- James Parisi
- Fredric Tomczyk

Audit Committee

- William Farrow
- Jennifer McPeek
- Michael Richter
- James Parisi
- Alexander Maturri

Nominating and Governance Committee

- 
- Jill Goodman
- Roderick Palmore
- Jill Sommers
- Eugene Sunshine
- Janet Froetscher

Finance and Strategy Committee

- Jill Goodman
- Joe Ratterman
- Roderick Palmore
- Fredric Tomczyk

Risk Committee

- William Farrow
- Edward Fitzpatrick
- Janet Froetscher
- Michael Richter
- Ivan Fong

Indemnity Committee

- Ed Tilly

ATS Oversight Committee

- Jennifer McPeek

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Jamie Parisi
- Joseph Ratterman

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**T. Cboe Futures Exchange, LLC**

1. *Name:* Cboe Futures Exchange, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
July 16, 2002.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Cboe Futures Exchanges, LLC is a  
designated contract market (DCM) approved by the Commodity Futures Trading  
Commission in August 2003. Cboe Futures Exchange, LLC is a fully electronic  
futures exchange.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Chris Isaacson (Chairman of the Board)
- Gilbert Bassett, Jr.
- Ananda K. Radhakrishnan
- Miguel A. Rivera
- Jill Sommers

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (SVP and Chief Compliance Officer)
- Kevin Carrai (Vice President, Market Data and Access Services)
- Brittany Carter (VP, Financial Planning and Analysis)
- Cole Chmielewski (Vice President, Operations)
- Catherine Clay (EVP, Head of Data and Access Solutions))
- Gary Compton (VP, Corporate Communications)
- Arianne Criqui (SVP, Head of Options and Global Client Services)
- John Deters (Executive Vice President, Chief Strategy Officer)
- James Enstrom (Senior Vice President & Chief Audit Executive)
- Angelo Evangelou (SVP, Chief Policy Officer)

- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (Vice President and Chief Risk Officer)
- Jennifer Golding (VP, Associate General Counsel & Chief Litigation Officer)
- Jill Griebenow (Senior Vice President & Chief Accounting Officer)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Gregory Hoogasian (Senior Vice President & Chief Regulatory Officer)
- Dave Howson (EVP and President, Cboe Europe and Asia Pacific)
- Chris Isaacson (Executive Vice President, COO)
- Jennifer Lamie (VP & Chief Regulatory Advisor)
- Stephanie Marrin Lara (VP & Deputy Chief Reg Officer)
- Andrew Lowenthal (Executive Vice President, International Expansion, Business Development)
- Emily Mitchell (Vice President, Tax)
- Arthur Reinstein (Senior Vice President, Deputy General Counsel)
- J. Patrick Sexton (Executive Vice President, General Counsel & Corporate Secretary)
- Brian Schell (Executive Vice President, Chief Financial Officer & Treasurer)
- Allen Wilkinson (Vice President and Controller)
- Troy Yeazel (Senior Vice President, Operations)
- Umesh Yerram (VP, Chief Information Security Officer)

Standing Committees

Executive

- Ed Tilly
- Michael Gorham

Regulatory Oversight Committee

- Michael Gorham
- Gilbert Bassett
- Jill Sommers

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**U. Cboe Building Corporation**

1. *Name:* Cboe Building Corporation  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware General Corporation Law (8 Del. C. § 101, et seq), August 8, 1980.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Owns facility used by Cboe Global Markets, Inc.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Marc Magrini (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

V. Cboe, LLC

1. *Name:* Cboe, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
August 22, 2001.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Cboe, LLC is a limited liability  
company member of OneChicago, LLC.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Catherine Clay (Vice President)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with  
the applicant during previous year:* Not applicable.

W. Cboe III, LLC

1. *Name:* Cboe III, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
May 2, 2014.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Holding company for investment in  
Tradelegs, LLC.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- John Deters
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
  - John Deters (Vice President)
  - Jill Griebenow (Vice President)
  - Chris Isaacson (Vice President)
  - Emily Mitchell (Vice President)
  - Brian Schell (Treasurer)
  - J. Patrick Sexton (Secretary)
  - Allen Wilkinson (VP and Controller)
10. *Indication of whether such business or organization ceased to be associated with  
the applicant during previous year:* Not applicable.

**X. Cboe Bats, LLC**

1. *Name:* Cboe Bats, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
September 25, 2016.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Holding company.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell
- Chris Isaacson

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (SVP, Chief Compliance Officer)
- Carmen Brannan (VP, Government Relations)
- Kevin Carrai (VP, Market Data and Access Services)
- Cole Chmielewski (VP, Operations)
- Bo Chung (SVP, Global Sales and Index Licensing)
- Catherine Clay (EVP, Head of Data and Access Solutions)
- Gary Compton (VP, Corporate Communications)
- Jeff Connell (VP, Deputy Chief Regulatory Officer)
- Brent Coonrod (Vice President, Software Engineering)
- Arianne Criqui (SVP, Head of Options and Business Development)
- Gina DeRaimo (VP, Cboe Derivatives Institute)
- John Deters (EVP, Chief Strategy Officer)
- Laura Dickman (VP, Associate General Counsel)
- James Enstrom (SVP, Chief Audit Executive)
- Angelo Evangelou (SVP, Market Policy and Government Affairs)

- Stacie Fleming (SVP, Marketing and Communications)
- Todd Furney (SVP, Chief Risk Officer)
- Jaime Galvan (VP, Associate General Counsel)
- Jennifer Golding (VP, Associate General Counsel, Chief Litigation Officer)
- Jill Griebenow (SVP & Chief Accounting Officer)
- Gerald Hanweck (Vice President, Technology)
- John Hiatt (VP, Product Development)
- Kenneth Hill (Investor Relations Vice President)
- Rob Hocking (SVP, Head of Derivatives Strategy)
- Michael Hollingsworth (VP, Global Head of Data and Analytics)
- Gregory Hoogasian (SVP, Chief Regulatory Officer)
- David Howson (EVP and President, Europe and Asia Pacific)
- Chris Isaacson (EVP, Chief Operating Officer)
- Adam Inzirillo (SVP, Head of U.S. Equities)
- Michael Izhaky (Vice President, Head of Capital Efficiencies)
- Adam Kreis (VP, Associate General Counsel)
- Vivek Kumar (Deputy Chief Information Security Officer)
- Jennifer Lamie (VP, Chief Regulatory Advisor)
- James Lisak (VP, Associate General Counsel)
- Andrew Lowenthal (SVP, Global Expansion & Business Development, Global Strategy))
- Marc Magrini (VP, Administration)
- Stephanie Marrin Lara (VP, Deputy Chief Regulatory Officer)
- Emily Mitchell (Vice President, Tax)
- Anthony Montesano (VP, Derivatives, Head of Market Structure)
- Kyle Murray (VP and Associate General Counsel)
- Dan Overmyer (VP, Options Regulations)
- Arthur Reinstein (SVP, Deputy General Counsel)
- Brian Schell (EVP, Chief Financial Officer and Treasurer)
- Curt Schumacher (VP, Infrastructure)
- J. Patrick Sexton (EVP, General Counsel and Corporate Secretary)
- Steven Sinclair (VP, Software Engineering)
- Eileen Smith (VP, Data and Analytics)
- Crystal Stanfield (VP, Global Talent Acquisition)
- Natan Tiefenbrun (Head of Equities)
- Jonathan Weinberg (Vice President, Head of FX)
- Allen Wilkinson (Vice President and Controller)
- Troy Yeazel (SVP, Operations)
- Umesh Yerram (VP, Chief Information Security Officer)
- Vivian Yiu (VP, FX Chief Operating Officer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year: Not applicable.*

Y. **Cboe Livevol, LLC**

1. *Name:* Cboe Livevol, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
May 29, 2015.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Cboe Livevol, LLC provides equity  
and index options technology for professional and retail traders, which includes  
options strategy backtesting, trade analysis and volatility modeling technologies  
and historical data.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Andrew Lowenthal
- John Deters
- Catherine Clay

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Chief Compliance Officer)
- Catherine Clay (Vice President)
- Brent Coonrod (Vice President)
- John Deters (Vice President)
- James Enstrom (Chief Audit Executive)
- Todd Furney (Chief Risk Officer)
- Jennifer Golding (Vice President)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Andrew Lowenthal (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**Z. Cboe UK Limited**

1. *Name:* Cboe UK Limited  
*Address:* 5<sup>th</sup> Floor, The Monument Building, London, EC3R 8AF, United Kingdom
2. *Form of organization:* Private Limited Company.
3. *Name of state, statute under which organized and date of incorporation:* England and Wales, Companies Act 2006, March 10, 2016.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Marketing and business development services in the U.K. and other European countries to promote products and services on behalf of Cboe and CFE.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ed Tilly
  - Dave Howson  
Current Officers
  - Karl Spielmann (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

AA. Cboe Vest, LLC

1. *Name:* Cboe Vest, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
December 10, 2015.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Holding company of majority equity  
investment in Cboe Digital and holds interest in The Vest Financial Group Inc.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- John Deters
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
  - Catherine Clay (Vice President)
  - John Deters (Vice President)
  - Jill Griebenow (Vice President)
  - Chris Isaacson (Vice President)
  - Emily Mitchell (Vice President)
  - Brian Schell (Treasurer)
  - J. Patrick Sexton (Secretary)
  - Allen Wilkinson (VP and Controller)
10. *Indication of whether such business or organization ceased to be associated with  
the applicant during previous year:* Not applicable.

**BB. Loan Markets, LLC**

1. *Name:* Loan Markets, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
May 11, 2015.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Holding company for investment in  
American Financial Exchange, LLC.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- John Deters
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
  - John Deters (Vice President)
  - Jill Griebenow (Vice President)
  - Chris Isaacson (Vice President)
  - Andrew Lowenthal (Vice President)
  - Emily Mitchell (Vice President)
  - Brian Schell (Treasurer)
  - J. Patrick Sexton (Secretary)
  - Allen Wilkinson (VP and Controller)
10. *Indication of whether such business or organization ceased to be associated with  
the applicant during previous year:* Not applicable.

CC. Cboe Data Services, LLC

1. *Name:* Cboe Data Services, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
February 21, 2006.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Cboe Data Services, LLC sells market  
data.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Chief Compliance Officer)
- Kevin Carrai (Vice President)
- Catherine Clay (Vice President)
- James Enstrom (Chief Audit Executive)
- Todd Furney (Chief Risk Officer)
- Jennifer Golding (Vice President)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Andrew Lowenthal (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**DD. Cboe Vest Group, Inc.**

1. *Name:* Cboe Vest Group, Inc.  
*Address:* 8300 Greensboro Drive, 8<sup>th</sup> Floor, McLean, VA 22102
2. *Form of organization:* Corporation.
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware General Corporation Law (8 Del. C. §101, et seq), January 2, 2015.
4. *Brief description of nature and extent of affiliation:* Majority-owned subsidiary of Cboe Vest, LLC.
5. *Brief description of business or functions:* Through its subsidiaries, provides options-based investment advisory services.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* No changes.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - John Deters
  - Catherine Clay  
Current Officers
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable

**EE. Cboe Hong Kong Limited**

1. *Name:* Cboe Hong Kong Limited  
*Address:* 6<sup>th</sup> Floor, Alexandra House, 18 Chater Road, Central, Hong Kong
2. *Form of organization:* Private Company Limited by Shares.
3. *Name of state, statute under which organized and date of incorporation:* Hong Kong under the Companies Ordinance (Chapter 622 of the Laws of Hong Kong), May 29, 2017.
4. *Brief description of nature and extent of affiliation:* Cboe Hong Kong Limited is wholly-owned by Cboe Worldwide Holdings Limited, which is an affiliate of the Exchange.
5. *Brief description of business or functions:* Marketing and business development services (business expected to commence in September 2017).
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Andy Lowenthal  
Current Officers
  - Consec Services Limited (Company Secretary)
  - Arianne Criqui (Vice President)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**FF. Cboe Silexx, LLC**

1. *Name:* Cboe Silexx, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
October 16, 2017.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Cboe Silexx, LLC operates the Silexx  
order execution management system business.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- John Deters
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Chief Compliance Officer)
- Catherine Clay (Vice President)
- Brent Coonrod (Vice President)
- John Deters (Vice President)
- James Enstrom (Chief Audit Executive)
- Todd Furney (Chief Risk Officer)
- Jennifer Golding (Vice President)
- Jill Griebenow (Vice President)
- Michael Hollingsworth (Vice President)
- Chris Isaacson (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**GG. Digital Asset Benchmark Administration, LLC**

1. *Name:* Digital Asset Benchmark Administration, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
October 17, 2017.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* Digital Asset Benchmark  
Administration, LLC licenses Gemini-related data.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- Ed Tilly
- John Deters
- Brian Schell

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Chief Compliance Officer)
- Catherine Clay (Vice President)
- John Deters (Vice President)
- James Enstrom (Chief Audit Executive)
- Todd Furney (Chief Risk Officer)
- Jennifer Golding (Vice President))
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Emily Mitchell (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year: Not applicable.*

**HH. CBOE Europe B.V.**

1. *Name:* CBOE Europe B.V.  
*Address:* 1212 Gustav Mahlerlaan, 108La Amsterdam (Netherlands)
2. *Form of organization:* Besloten Vennootschap (comparable with Private Company Limited)
3. *Name of state, statute under which organized and date of incorporation:* Incorporated in the United Kingdom on August 1, 2018.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of Cboe Europe Limited. Cboe Europe Limited is wholly-owned by Cboe Worldwide Holdings Limited, which is an affiliate of the Exchange.
5. *Brief description of business or functions:* The business is very broad, encompassing the operation of a regulated market and an approved publication arrangement, and all other businesses that may be ancillary or useful for the above operations
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ade Cordell
  - Ruben Hilhorst
  - Dave Howson
  - Jenny Trahant  
Current Officers
  - Ade Cordell (President B.V.)
  - Ruben Hilhorst (Head of Compliance)
  - Jenny Trahant (Director, Trade Desk)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**II. Cboe Off-Exchange Services, LLC**

1. *Name:* Cboe Off-Exchange Services, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Delaware, Delaware Limited Liability Company Act (6 Del. C. §18-101, et seq),  
January 31, 2019.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of  
Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the  
purpose of engaging in any lawful activity for which limited liability companies  
may be organized under the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*

Current Directors

- None

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- John Deters (Vice President)
- Jill Griebenow (Vice President)
- Chis Isaacson (Vice President)
- Andrew Lowenthal (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with  
the applicant during previous year:* Not applicable.

**JJ. Cboe Global Indices, LLC**

1. *Name:* Cboe Global Indices, LLC  
*Address:* 433 West Van Buren Street, Chicago, Illinois 60607
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:* Illinois, Illinois Limited Liability Company Act, September 11, 2019.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which limited liability companies may be organized under the Act and operates a financial index calculation, administration and distribution business.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell
- Catherine Clay

Current Officers

- Ed Tilly (President and Chief Executive Officer)
- Alexandra Albright (Vice President and Chief Compliance Officer)
- Chris Bialka (Vice President and Global head of CGI)
- Kevin Carrai (Vice President)
- Bo Chung (Vice President)
- Catherine Clay (Vice President)
- James Enstrom (Vice President and Chief Audit Executive)
- Todd Furney (Vice President and Chief Risk Officer)
- Jennifer Golding (Vice President and Chief Litigation Officer)
- Jill Griebenow (Vice President)
- Rob Hocking (Vice President)
- Michael Hollingsworth (Vice President)
- Chris Isaacson (Vice President)
- Emily Mitchell (Vice President)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**KK. Cboe Switzerland GmbH**

1. *Name:* Cboe Switzerland GmbH  
*Address:* c/o Format A AG  
Pfingstweidstrasse 102b 8005 Zurich
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Switzerland under Article 777c and Article 633, November 18, 2019.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary of Cboe Worldwide Holdings Limited.
5. *Brief description of business or functions:* Operate an electronic trading platform for financial contracts and instruments as well as to provide services in this business are to Group affiliate.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors  
  
Current Officers
  - Roman Sturzenegger
  - Jonathan Weinberg
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**LL. Hanweck Associates, LLC**

1. *Name:* Hanweck Associates, LLC  
*Address:* 30 Broad Street, Floor 42, New York, NY 10004
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated under provisions of the New York State Limited Liability Company Law on November 25, 2003.
4. *Brief description of nature and extent of affiliation:* Wholly-owned subsidiary acquired by Cboe Global Markets, Inc. on February 3, 2020.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which limited liability companies may be organized under the Act. Hanweck Associates, LLC provides real-time risk and margin analytics on global derivatives markets.
6. *Copy of constitution:* No changes.
7. *Copy of articles of incorporation or association and amendments:* Not applicable.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Chris Isaacson
- Brian Schell

Current Officers

- Ed Tilly (President and CEO)
- Alexandra Albright (Vice President and Chief Compliance Officer)
- Catherin Clay (Vice President)
- John Deters (Vice President)
- Jim Enstrom (Vice President and Chief Audit Executive)
- Todd Furney (Vice President and Chief Risk Officer)
- Jennifer Golding (Vice President and Chief Litigation Officer)
- Jill Griebenow (Vice President)
- Gerald Hanweck (Vice President)
- Rob Hocking (Vice President)
- Chris Isaacson (Chief Operating Officer)
- Emily Mitchell (Vice President)

**Cboe Exchange, Inc. Form 1 Registration Statement: Exhibit C**

- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**MM. Hanweck Associates Pte. Ltd.**

1. *Name:* Hanweck Associates Pte. Ltd.  
*Address:* 1 Marina Boulevard #28-00, One Marina Boulevard, Singapore, 018989, Singapore
2. *Form of organization:* Private Company Limited by Shares
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated under the Companies Act (Cap. 50) in Singapore on May 30, 2019.
4. *Brief description of nature and extent of affiliation:* Hanweck Associates Pte. Ltd. is a subsidiary of Hanweck Associates, LLC, which is wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act. Hanweck Associates Pte. Ltd. provides real-time risk and margin analytics on global derivatives markets.
6. *Copy of constitution:* No changes.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ng Lip Chih
  - Ed Tilly  
Current Officers
  - Ang Yee Koon Daphne (Secretary)
  - Tan Zhe Lei (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**NN. Cboe Europe Indices B.V.**

1. *Name:* Cboe Europe Indices B.V.  
*Address:* 1212 Gustav Mahlerlaan, 1081LA Amsterdam, Netherlands
2. *Form of organization:* Besloten Vennootschap (comparable with Private Limited Liability Company)
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated per Amsterdam statutes on December, 16 2019.
4. *Brief description of nature and extent of affiliation:* Cboe Europe Indices B.V. is a subsidiary of Cboe Worldwide Holdings Limited.
5. *Brief description of business or functions:* The Company's primary function is to provide services as a benchmark administrator.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ade Cordell
  - Joe Green
  - Ruben Hilhorst
  - Dave Howson (Chairman)  
Current Officer
  - Ade Cordell
  - Joe Green
  - Ruben Hilhorst
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**OO. Cboe Canada Holdings, ULC**

1. *Name:* Cboe Canada Holdings, ULC  
*Address:* Suite 2600, Three Bentall Centre  
595 Burrard Street, Vancouver BC V7X 1L3 Canada
2. *Form of organization:* Unlimited Liability Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated under the Business Corporation Act on April 22, 2020.
4. *Brief description of nature and extent of affiliation:* Cboe Canada Holdings, ULC is a subsidiary of Omicron Acquisition Corp., which is wholly-owned subsidiary of Bats Global Markets Holdings.
5. *Brief description of business or functions:* Cboe Canada Holdings, ULC is an intermediate holding company.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Ed Tilly
- Brian Schell

Current Officer

- Ed Tilly (President and CEO)
- John Deters (Vice President)
- Jill Griebenow (Vice President)
- Chris Isaacson (Vice President)
- Brian Schell (Treasurer)
- J. Patrick Sexton (Secretary)
- Allen Wilkinson (VP and Controller)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**PP. European Central Counterparty N.V.**

1. *Name:* European Central Counterparty N.V. (aka EuroCCP)  
*Address:* Strawinskylaan 1847, Tower I, Level 3  
1077 XX Amsterdam, Netherlands
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated per Amsterdam statutes on February 28<sup>th</sup>, 2007.
4. *Brief description of nature and extent of affiliation:* European Central Counterparty N.V. was acquired by Cboe Worldwide Holdings Limited, which is an affiliate of the Exchange.
5. *Brief description of business or functions:* The European Central Counterparty N.V. was formed to provide equities clearing and settlement services throughout Europe
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Supervisory Board

- John Deters
- Dave Howson (Chairman)
- Stephanie Renner
- Clotilde Bouchet (Independent)
- Peter Bezemer (Independent)

Management Board

- Arnoud Siegmann

Current Officer

- Arnoud Siegmann (Chief Risk Officer)
- Tom Zydenbos (Chief Financial Officer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**QQ. TriAct Canada Marketplace LP**

1. *Name:* TriAct Canada Marketplace LP  
*Address:* 130 King Street West, Suite 1050  
Toronto, Ontario Canada
2. *Form of organization:* Limited Partnership
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated under the Nova Scotia Companies Act on January 31, 2005.
4. *Brief description of nature and extent of affiliation:* TriAct Canada Marketplace LP is owned by Cboe Canada Holdings, ULC, a subsidiary of Omicron Acquisition Corp., which is wholly-owned subsidiary of Bats Global Markets Holdings.
5. *Brief description of business or functions:* The TriAct Canada Marketplace LP serves as an the operational operator of the alternative trading system, MatchNow.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- None

Current Officers

- Bryan Christopher Blake (CEO)
  - Gregory Leonard Davies (CFO)
  - David Nolan (CCO)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**RR. MATCHNow GP ULC**

1. *Name:* MATCHNow GP ULC (f/k/a TCM Corp.)  
*Address:* 4222 Bay Street Toronto Ontario, Vancouver, B.C., Canada
2. Form of organization: Unlimited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated under the British Columbia Business Corporations Act on November 4, 2020
4. *Brief description of nature and extent of affiliation:* MATCHNow GP ULC (f/k/a TCM Corp.) is owned by Cboe Canada Holdings, ULC, a subsidiary of Omicron Acquisition Corp., which is wholly-owned subsidiary of Bats Global Markets Holdings.
5. *Brief description of business or functions:* MATCHNow GP ULC (f/k/a TCM Corp.) helps support an operational alternative trading system. MATCHNOW GP ULC is the general partner of TriAct Canada Marketplace LP.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Bryan Christopher Blake  
Current Officers
  - Bryan Christopher Blake (CEO)
  - Gregory Leonard Davies (CFO)
  - David Nolan (CCO)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**SS. Cboe Netherlands Services Company B.V**

1. *Name:* Cboe Netherlands Services Company B.V.  
*Address:* 1212 Gustav Mahlerlaan, 108La Amsterdam (Netherlands)
2. *Form of organization:* Besloten Vennootschap (comparable with Private Limited Liability Company)
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated and registered with the Dutch Chamber of Commerce on October 12, 2020.
4. *Brief description of nature and extent of affiliation:* Cboe Netherlands Services Company B.V. is a subsidiary of Cboe Worldwide Holdings Limited.
5. *Brief description of business or functions:* Cboe Netherlands Services Company B.V. business is broad; providing technical support, operational support, managerial services, and other businesses that may be ancillary or useful for the above operations.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ruben Hilhorst
  - Dave Howson  
Current Officers
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**TT. BIDS Holdings GP LLC**

1. *Name:* BIDS Holdings GP LLC  
*Address:* 1 Liberty Plaza, 165 Broadway, 23<sup>rd</sup> Floor, New York, NY 10006
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated and registered in the state of Delaware on June 14, 2006.
4. *Brief description of nature and extent of affiliation:* BIDS Holdings GP LLC is a wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which limited liability companies may be organized under the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

Current Officers

- Stephen Berte (President)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

UU. **BIDS Holdings LP**

1. *Name:* BIDS Holdings LP  
*Address:* 1 Liberty Plaza, 165 Broadway, 23<sup>rd</sup> Floor, New York, NY 10006
2. *Form of organization:* Limited Partnership
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated and registered in the state of Delaware on June 14, 2006.
4. *Brief description of nature and extent of affiliation:* BIDS Holdings LP is a wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which limited partnership may be organized under the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

Current Officers

- Stephen Berte (President)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**VV. BIDS Trading, LP**

1. *Name:* BIDS Trading, LP  
*Address:* 1 Liberty Plaza, 165 Broadway, 23<sup>rd</sup> Floor, New York, NY 10006
2. *Form of organization:* Limited Partnership
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated and registered in the state of Delaware on June 14, 2006.
4. *Brief description of nature and extent of affiliation:* BIDS Trading, LP is a subsidiary of BIDS Holdings LP, which is a wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized to develop a securities trading platform and other products that will enhance the range of services available to the limited partners of the Limited Partner and their respective clients and enhance efficiencies for and reduce the costs of such services.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

Current Officers

- Stephen Berte (President)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**WW. BIDS Global Services, LLC**

1. *Name:* BIDS Global Services, LLC  
*Address:* 1 Liberty Plaza, 165 Broadway, 23<sup>rd</sup> Floor, New York, NY 10006
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated and registered in the state of Delaware on September 20, 2016.
4. *Brief description of nature and extent of affiliation:* BIDS Global Services, LLC is a wholly-owned subsidiary of Cboe Global Markets, Inc. and is the intermediate holding company for BIDS Trading.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which limited liability companies may be organized under the Act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

Current Officers

- Stephen Berte (President)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**XX. BIDS Trading Technologies, Ltd.**

1. *Name:* BIDS Trading Technologies, Ltd.  
*Address:* 2200 HSBC Building, 885 West Georgia Street, Vancouver, BC, Canada  
101
2. *Form of organization:* Private Company Limited by Shares
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated and registered under the Business Corporations Act in British  
Columbia Canada on September 2, 2009.
4. *Brief description of nature and extent of affiliation:* BIDS Trading Technologies,  
Ltd. is a wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the  
purpose of engaging in any lawful activity for which private companies may be  
organized under the act. BIDS Trading Technologies Ltd. provides development,  
support and other services in connection with the ongoing support of the BIDS  
ATS.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees  
and persons performing similar functions:*  
  
Current Directors
  - Stephen Berte
  - Jim Lee  
Current Officers
  - Stephen Berte (President and Secretary)
10. *Indication of whether such business or organization ceased to be associated with  
the applicant during previous year:* Not applicable.

**YY. BIDS Trading Limited**

1. *Name:* BIDS Trading Limited  
*Address:* St. James's Square, Suite 1, 3<sup>rd</sup> Floor 11-12, London, SW1Y 4LB, United Kingdom
2. *Form of organization:* Private Company Limited by Shares
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in England and Wales under the Companies Act 2006 on May 12, 2015.
4. *Brief description of nature and extent of affiliation:* BIDS Trading Limited is a wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act. BIDS Trading Ltd. provides development, support and other service in connection with the ongoing support of the BIDS ATS.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Simon Monson
  - Nicole Masse  
Current Officers
  - Jordan Trust Company (Company Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**ZZ. Cboe Data and Access Solutions China, LLC**

1. *Name:* Cboe Data and Access Solutions China, LLC  
*Address:* 1209 Orange Street, Wilmington, Delaware 19801
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on May 25, 2021.
4. *Brief description of nature and extent of affiliation:* Cboe Data Services was formed as a subsidiary of Cboe Data Services, LLC.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

Current Officers

- Ed Tilly (President and Chief Executive Officer)
  - Kevin Carrai (Vice President)
  - Catherin Clay (Vice President)
  - Jill Griebenow (Vice President)
  - Chris Isaacson (Vice President)
  - Emily Mitchell (Vice President)
  - Brian Schell (Treasurer)
  - J. Patrick Sexton (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**AAA. Cboe Fixed Income Markets, LLC**

1. *Name:* Cboe Fixed Income Markets, LLC  
*Address:* 1209 Orange Street, Wilmington, Delaware 19801
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on May 25, 2021.
4. *Brief description of nature and extent of affiliation:* Cboe Data Services was formed as a subsidiary of Bats Global Markets Holdings, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No changes.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors  
  
Current Officers
  - J. Patrick Sexton (Secretary)
  - Vivian You (Interim President)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**BBB. Chi-X Holdings Limited**

1. *Name:* Chi-X Holdings Limited  
*Address:* 5705, 57<sup>th</sup> Floor, The Center, 99 Queen's Road Central, Hong Kong
2. *Form of organization:* Limited Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Hong Kong under the Companies Ordinance (Chapter 622 of the Laws of Hong Kong) on February 17, 2016.
4. *Brief description of nature and extent of affiliation:* Chi-X Holdings Limited was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - David Howson (Chair)
  - Christopher Andrew Isaacson
  - John Frederick Deters  
Current Officers
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**CCC. Cboe Asia Pacific Holdings Limited**

1. *Name:* Cboe Asia Pacific Holdings Limited  
*Address:* 5705, 57<sup>th</sup> Floor, The Center, 99 Queen's Road Central, Hong Kong
2. *Form of organization:* Limited Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Hong Kong under the Companies Ordinance (Chapter 622 of the Laws of Hong Kong) on January 13, 2016.
4. *Brief description of nature and extent of affiliation:* Cboe Asia Pacific Holdings Limited was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - David Howson (Chair & CEO)
  - Christopher Andrew Isaacson
  - John Frederick Deters  
Current Officers
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**DDD. Cboe Technology Hong Kong Limited**

1. *Name:* Cboe Technology Hong Kong Limited  
*Address:* 5705, 57<sup>th</sup> Floor, The Center, 99 Queen's Road Central, Hong Kong
2. *Form of organization:* Limited Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Hong Kong under the Companies Ordinance (Chapter 622 of the Laws of Hong Kong) on September 14, 2016.
4. *Brief description of nature and extent of affiliation:* Cboe Technology Hong Kong Limited was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Dave Howson, Chair
  - Christopher Andrew Isaacson
  - John Frederick Deters  
Current Officers
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**EEE. Cboe Australia Pty Ltd**

1. *Name:* Cboe Australia Pty Ltd  
*Address:* Governor Phillip Tower, Level 23, 1 Farrer Place, Sydney, NSW 2000
2. *Form of organization:* Limited Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in New South Wales under the Corporations Act 2001 on February 7, 2008.
4. *Brief description of nature and extent of affiliation:* Cboe Australia Pty Ltd was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - David Howson
  - Christopher Andrew Isaacson
  - John Frederick Deters
  - David Morgan (JCF)
  - David Trude (Independent)
  - Vic Jokovic (CXA CEO)
  - Michael Somes (Company Secretary)  
Current Officers
  - Michael Somes, Company Secretary
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**FFF. Middlebury Holdings Pty Ltd**

1. *Name:* Middlebury holdings Pty Ltd  
*Address:* Governor Phillip Tower, Level 23, 1 Farrer Place, Sydney, NSW 2000
2. *Form of organization:* Limited Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Victoria under the Corporations Act 2001 on January 27, 2016.
4. *Brief description of nature and extent of affiliation:* Middlebury Holdings Pty Ltd was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- David Howson
- Christopher Andrew Isaacson
- John Frederick Deters
- David Morgan (JCF)
- David Trude (independent)
- Vic Jokovic (CXA CEO)

Current Officers

- Michael Somes, Company Secretary

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**GGG. Cboe Japan Limited**

1. *Name:* Cboe Japan Limited  
*Address:* Shin-Toyo Akasaka Building 4-9-25 Minato-ku, Tokyo, Japan 107-0052
2. *Form of organization:* Limited Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Japan on March 17, 2009.
4. *Brief description of nature and extent of affiliation:* Cboe Japan Limited was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- David Howson
- Christopher Andrew Isaacson
- John Frederick Deters
- Thierry Porté (JCF)
- Takatoshi Ito (Independent)
- Amy Nashida (Independent)
- Toru Irokawa (CXJ CEO / Representative Director)
- Thomas Whitson (Statutory Auditor)

Current Officers

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**HHH. Cboe Technology Philippines Inc.**

1. *Name:* Cboe Technology Philippines Inc.  
*Address:* 10<sup>th</sup> Floor Unit AB, North Tower, Rockwell Business Center Sheridan Sheridan Street Corner United Street, Highway Hills, Manadaluyong City
2. *Form of organization:* Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Philippines under Corporation Code of the Philippines and Foreign Investments Act of 1991 on May 1, 1980.
4. *Brief description of nature and extent of affiliation:* Cboe Technology Philippines Inc. was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Troy Yeazel
  - Timothy Lipscomb
  - Mario Domingo (President / CTO)
  - Maria Aldeguer (CAO)  
Current Officers
  - Elaine Reyes-Rodolfo, Company Secretary
  - Francis Nacpil, Treasurer
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**III. Cboe Digital Exchange, LLC**

1. *Name:* Cboe Digital Exchange, LLC  
*Address:* 1209 Orange Street, Wilmington, County of New Castle, DE 19801
2. *Form of organization:* Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on September 16, 2021.
4. *Brief description of nature and extent of affiliation:* Cboe Digital Exchange, LLC. is wholly-owned by Bats Global Markets Holdings, Inc., which is also the Exchange's 100% owner.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Ed Tilly
  - Chris Isaacson  
Current Officers
  - Ed Tilly (President and Chief Executive Officer)
  - Chris Isaacson (Vice President)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**JJJ. Cboe Digital Intermediate Holdings, LLC**

1. *Name:* Cboe Digital Intermediate Holdings, LLC  
*Address:* 160 Greentree Dr., Suite 101, Dover, Delaware 19904
2. *Form of organization:* Limited Liability Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on November 29, 2017.
4. *Brief description of nature and extent of affiliation:* Cboe Digital Intermediate Holdings, LLC was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - John Palmer
  - Cristobal Conde
  - Chris Isaacson
  - Ananda Radhakrishnan
  - Margaret Wiermanski
  - Steven Winter  
Sole Member
  - Cboe Digital Exchange, LLC
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**KKK. Cboe Clear Digital, LLC**

1. *Name:* Cboe Clear Digital, LLC  
*Address:* 160 Greentree Dr., Suite 101, Dover, Delaware 19904
2. *Form of organization:* Limited Liability Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on October 16, 2017.
4. *Brief description of nature and extent of affiliation:* Cboe Clear Digital, LLC acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - John Palmer
  - Cristobal Conde
  - Chris Isaacson
  - Ananda Radhakrishnan
  - Margaret Wiermanski
  - Steven Winter  
Manager
  - Cboe Digital Exchange, LLC
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**LLL. Cboe Clear Digital Holdings, LLC**

1. *Name:* Cboe Clear Digital Holdings, LLC  
*Address:* 160 Greentree Dr., Suite 101, Dover, Delaware 19904
2. *Form of organization:* Limited Liability Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on October 16, 2017.
4. *Brief description of nature and extent of affiliation:* Cboe Clear Digital Holdings, LLC was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors  
  
Manager
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**MMM. Aequitas Innovations Inc.**

1. *Name:* Aequitas Innovations Inc.  
*Address:* 155 University Avenue, Suite 4, Toronto, ON M5H 3B7 Canada
2. *Form of organization:* Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Canada under section 178 of the Canada Business Corporation Act on May 30, 2013.
4. *Brief description of nature and extent of affiliation:* Aequitas Innovations Inc. was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Perry Dellelce
- Lori-Ann Beausoleil
- John Deters
- Adam Inzirillo
- Greg Mills
- Joseph Schmitt
- Ian Telfer

Officers

- Joseph Schmitt (President and CEO)
- Perry Dellelce (ChairPerson)
- Dave Howson (Chairman of the Board)
- Terry Mack (Chief Financial Officer)
- Erik Sloane (Chief Revenue Officer)
- Joacim Wiklander (Chief Operating Officer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**NNN. Aequitas EVO Connect Inc.**

1. *Name:* Aequitas EVO Connect Inc.  
*Address:* 155 University Avenue, Suite 4, Toronto, ON M5H 3B7 Canada
2. *Form of organization:* Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Canada under section 178 of the Canada Business Corporation Act on March 9, 2015.
4. *Brief description of nature and extent of affiliation:* Aequitas EVO Connect Inc. was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*  
  
Current Directors
  - Dave Howson
  - Joseph Schmitt  
Officers
  - Joseph Schmitt (Chief Executive Officer)
  - Terry Mack (Chief Financial Officer)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**000. Neo Exchange Inc.**

1. *Name:* Neo Exchange Inc.  
*Address:* 65 Queen Street West, Suite 1900, Toronto, ON, M5H 2M5 Canada
2. *Form of organization:* Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Canada under section 178 of the Canada Business Corporation Act on January 15, 2019.
4. *Brief description of nature and extent of affiliation:* Neo Exchange Inc. was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Perry Dellelce
- Lori-Ann Beausoleil
- John Deters
- Adam Inzirillo
- Maureen Jensen
- Joseph Schmitt
- Ian Telfer

Officers

- Joseph Schmitt (President and CEO)
- Perry Dellelce (ChairPerson)
- Dave Howson (Chairman of the Board)
- Terry Mack (Chief Financial Officer)
- Erik Sloane (Chief Revenue Officer)
- Joacim Wiklander (Chief Operating Officer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**PPP. Neo Connect Inc.**

1. *Name:* Neo Connect Inc.  
*Address:* 65 Queen Street West, Suite 1900, Toronto, ON, M5H 2M5 Canada
2. *Form of organization:* Corporation
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Canada under section 178 of the Canada Business Corporation Act on January 17, 2014.
4. *Brief description of nature and extent of affiliation:* Neo Connect Inc. was acquired by Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* No change.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

- Dave Howson
- Joseph Schmitt

Officers

- Joseph Schmitt (President and CEO)
- Terry Mack (Chief Financial Officer)
- Erik Sloane (Chief Revenue Officer)
- Joacim Wiklander (Chief Operating Officer)

10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**QQQ. Cboe Ascent Holdings LLC**

1. *Name:* Cboe Ascent Holdings LLC  
*Address:* 1209 Orange Street, Wilmington, Delaware 19801
2. *Form of organization:* Limited Liability Company
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated in Delaware under Section 101 of the General Corporation Law of the State of Delaware on October 13, 2021.
4. *Brief description of nature and extent of affiliation:* Cboe Ascent Holdings, LLC is a wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity under the act.EU benchmark regulation.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* See attached.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:*

Current Directors

Officers

- Ed Tilly (President and CEO)
  - John Deters (VP)
  - Chris Isaacson (EVP and COO)
  - Brian Schell (Treasurer)
  - Patrick J. Sexton (Secretary)
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* Not applicable.

**RRR. Hanweck Associates Limited**

1. *Name:* Hanweck Associates Limited  
*Address:* 42-46 Fountain Street  
Belfast, Northern Ireland, United Kingdom BT1 5EF
2. *Form of organization:* Private Company Limited by Shares
3. *Name of state, statute under which organized and date of incorporation:*  
Incorporated under the Companies Act of 2006 on May 20, 2015.
4. *Brief description of nature and extent of affiliation:* Hanweck Associates Limited is a subsidiary of Hanweck Associates, LLC, which is wholly-owned subsidiary of Cboe Global Markets, Inc.
5. *Brief description of business or functions:* The Company is organized for the purpose of engaging in any lawful activity for which private companies may be organized under the act.
6. *Copy of constitution:* Not applicable.
7. *Copy of articles of incorporation or association and amendments:* Not applicable.
8. *Copy of existing by-laws:* Not applicable.
9. *Name and title of present officers, governors, members of standing committees and persons performing similar functions:* None
10. *Indication of whether such business or organization ceased to be associated with the applicant during previous year:* As of December 21, 2021, the entity was dissolved.

## Form 1, Exhibit C Index of Attachments

- A Bats Global Markets Holdings, Inc.
- B Direct Edge LLC
- C Cboe BZX Exchange, Inc.
- D Cboe BYX Exchange, Inc.
- E Cboe EDGA Exchange, Inc.
- F Cboe EDGX Exchange, Inc.
- G Cboe C2 Exchange, Inc.
- H Cboe Trading, Inc.
- I Omicron Acquisition Corp.
- J Cboe FX Holdings, LLC
- K Cboe FX Markets, LLC
- L Cboe FX Services, LLC
- M Cboe FX Europe Limited
- N Cboe FX Asia Pte. Limited
- O Cboe Europe Limited
- P Cboe Chi-X Europe Limited
- Q Cboe SEF, LLC
- R Cboe Worldwide Holdings Limited
- S Cboe Global Markets, Inc.
- T Cboe Futures Exchange, LLC
- U Cboe Building Corporation
- V Cboe, LLC
- W Cboe III, LLC
- X Cboe Bats, LLC
- Y Cboe Livevol, LLC
- Z Cboe UK Limited

- AA Cboe Vest, LLC
- BB Loan Markets, LLC
- CC Cboe Data Services, LLC
- DD Cboe Vest Group Inc.
- EE Cboe Hong Kong Limited
- FF Cboe Silexx, LLC
- GG Digital Asset Benchmark Administration, LLC
- HH CBOE Europe B.V.
- II Cboe Off-Exchange Services, LLC
- JJ Cboe Global Indices, LLC
- KK Cboe Switzerland GmbH
- LL Hanweck Associates, LLC
- MM Hanweck Associates Pte. Ltd.
- NN Cboe Europe Indices B.B.
- OO Cboe Canada Holdings, ULC
- PP European Central Counterparty N.V.
- QQ TriAct Canada Marketplace LP
- RR MATCHNow GP ULC
- SS Cboe Netherlands Services Company B.V.
- TT BIDS Holdings GP LLC
- UU BIDS Holdings LP
- VV BIDS Trading, LP
- WW BIDS Global Services, LLC
- XX BIDS Trading Technologies, Ltd.
- YY BIDS Trading Limited
- ZZ Cboe Data and Access Solutions China, LLC
- AAA Cboe Fixed Income Markets, LLC
- BBB Chi-X Holdings Limited

- CCC Cboe Asia Pacific Holdings Limited (see attached)
- DDD Cboe Technology Hong Kong Limited (see attached)
- EEE Cboe Australia Services Pty Ltd (see attached)
- FFF Middlebury Holdings Pty Ltd
- GGG Cboe Japan Limited (see attached)
- HHH Cboe Technology Philippines Inc. (see attached)
- III Cboe Digital Exchange, LLC. (see attached)
- JJJ Cboe Digital Intermediate Holdings, LLC (see attached)
- KKK Cboe Clear Digital, LLC (see attached)
- LLL Cboe Clear Digital Holdings, LLC (see attached)
- MMM Aequitas Innovations Inc.
- NNN Aequitas EVO Connect Inc.
- OOO Neo Exchange Inc.
- PPP Neo Connect Inc.
- QQQ Cboe Ascent Holdings LLC

**CCC Cboe Asia Pacific Holdings Limited**

編號 2330284

No.



公司註冊處  
COMPANIES REGISTRY

公司註冊證明書  
CERTIFICATE OF INCORPORATION

\*\*\*

本人謹此證明  
I hereby certify that

Chi-X Asia Pacific Holdings Limited

於本日根據香港法例第622章《公司條例》  
is this day incorporated in Hong Kong under the Companies Ordinance  
在香港成立為法團，此公司是一間  
(Chapter 622 of the Laws of Hong Kong), and that this company is  
有限公司。  
a limited company.

本證明書於二〇一六年一月十三日發出。  
Issued on 13 January 2016.

A handwritten signature in black ink, appearing to read 'A.L.C.', with a horizontal line underneath.

香港特別行政區公司註冊處處長鍾麗玲

Ms Ada L L CHUNG

**Registrar of Companies**  
**Hong Kong Special Administrative Region**

註 Note :

公司名稱獲公司註冊處註冊，並不表示獲授予該公司名稱或其任何部分的商標權或任何其他知識產權。

Registration of a company name with the Companies Registry does not confer any trade mark rights or any other intellectual property rights in respect of the company name or any part thereof.

**DDD Cboe Technology Hong Kong Limited**



公司註冊處  
Companies Registry

# 更改公司名稱通知書 Notice of Change of Company Name

表格  
Form **NNC2**

公司編號 Company Number

0666704

1 現有公司英文名稱 **Existing English Company Name**

CHI-X GLOBAL TECHNOLOGY (HK) LIMITED

現有公司中文名稱 **Existing Chinese Company Name**

2 更改公司名稱的特別決議日期  
**Date of Special Resolution for Change of Company Name**

28 / 01 / 2022  
日 DD 月 MM 年 YYYY

3 擬用的公司英文名稱 **Intended English Company Name**

Cboe Technology Hong Kong Limited

擬用的公司中文名稱 **Intended Chinese Company Name**

Nil

簽署 Signed : PIN Signed by PIN  
姓名 Name : RobSec Limited  
身分 Capacity : 公司秘書 Company Secretary  
日期 Date : 31 / 01 / 2022 (日 DD / 月 MM / 年 YYYY)

本處專用 **For Official Use**

Document Ref. No.:  
Submission Date:  
Resubmission Date:



編號 666704

No.



公司註冊處  
COMPANIES REGISTRY

公司更改名稱證明書  
CERTIFICATE OF CHANGE OF NAME

\*\*\*

本人謹此證明  
I hereby certify that

CHI-X GLOBAL TECHNOLOGY (HK) LIMITED

已藉特別決議更改其名稱，該公司根據  
having by special resolution changed its name, is now incorporated under the

香港法例第622章《公司條例》註冊的名稱現為  
Companies Ordinance (Chapter 622 of the Laws of Hong Kong) in the name of

Cboe Technology Hong Kong Limited

本證明書於二〇二二年一月三十一日發出。

Issued on 31 January 2022.

香港特別行政區公司註冊處處長徐麗貞

Ms Kitty TSUI

**Registrar of Companies**  
**Hong Kong Special Administrative Region**

註 Note :

公司名稱獲公司註冊處註冊，並不表示獲授予該公司名稱或其任何部分的商標權或任何其他知識產權。

Registration of a company name with the Companies Registry does not confer any trade mark rights or any other intellectual property rights in respect of the company name or any part thereof.

**EEE Cboe Australia Services Pty Ltd**



# Certificate of Registration on Change of Name

This is to certify that

**CHI-X AUSTRALIA PTY LTD**

**Australian Company Number 129 584 667**

did on the twenty-first day of January 2022 change its name to

**CBOE AUSTRALIA PTY LTD**

**Australian Company Number 129 584 667**

The company is a proprietary company.

The company is limited by shares.

The company is registered under the Corporations Act 2001 and is taken to be registered in New South Wales and the date of commencement of registration is the seventh day of February, 2008.

Issued by the  
Australian Securities and Investments Commission  
on this twenty-first day of January 2022.

Joseph Longo  
Chair

CERTIFICATE

**GGG Cboe Japan Limited**

# 履歴事項全部証明書

東京都港区赤坂四丁目9番25号新東洋赤坂ビル  
Cboeジャパン株式会社

会社法人等番号	0104-01-080962		
商号	<u>チャイエックス・ジャパン株式会社</u>		
	Cboeジャパン株式会社	令和 4年 2月 1日変更	
		令和 4年 2月 1日登記	
本店	<u>東京都港区赤坂五丁目3番1号</u>		
	東京都港区赤坂四丁目9番25号新東洋赤坂ビル	平成24年 7月17日移転	
		平成24年 7月17日登記	
公告をする方法	官報に掲載する方法により行う。		
会社成立の年月日	平成21年3月17日		
目的	<p>① 有価証券の売買、有価証券指数等先物取引、有価証券オプション取引または外国市場証券先物取引</p> <p>② 有価証券の売買、有価証券指数等先物取引、有価証券オプション取引または外国市場証券先物取引の媒介、取次ぎまたは代理、および次に掲げる取引の委託の媒介、取次ぎまたは代理</p> <p style="padding-left: 20px;">イ. 有価証券市場における有価証券の売買、有価証券指数等先物取引、有価証券オプション取引</p> <p style="padding-left: 20px;">ロ. 外国有価証券市場における有価証券の売買または外国市場証券先物取引</p> <p>③ 有価証券の保護預り業務</p> <p>④ 有価証券の貸借業務またはその媒介もしくは代理</p> <p>⑤ 口座管理機関として行う振替業</p> <p>⑥ その他証券業に付随する業務</p> <p>⑦ 通貨の売買、媒介、取次ぎ、代理業務</p> <p>⑧ 他の事業者の経営に関する相談に応じる業務</p> <p>⑨ 他の事業者の業務に関する電子計算機のプログラムの作成または販売ならびに計算受託業務</p> <p>⑩ 関係会社の総務・人事・経理・財務の各業務について指導助言および代行業務ならびにこれら業務に関連するシステムの開発・保守またはデータ通信機器の管理</p> <p>⑪ 関係会社の法令順守業務、内部監査業務またはリスク管理業務の各業務についての指導助言および代行業務ならびにこれら業務に関連するシステムの開発・保守またはデータ通信機器の管理</p> <p>⑫ 投資業</p> <p>⑬ 融資、保証および債権買取を含めた信用供与とその斡旋ならびに仲介</p> <p>⑭ 証券および金融に関する各種情報提供サービス業ならびに助言指導業務</p>		

	⑮ その他金融サービスおよび前各号に附帯関連する一切の業務	
発行可能株式総数	10万株	平成23年 4月21日変更
		平成23年 5月 2日登記
発行済株式の総数 並びに種類及び数	発行済株式の総数 5万7500株	平成30年 3月23日変更
		平成30年 4月 4日登記
	発行済株式の総数 5万9100株	令和 3年 1月21日変更
		令和 3年 1月25日登記
資本金の額	金14億3510万円	平成30年 3月23日変更
		平成30年 4月 4日登記
	金14億7510万円	令和 3年 1月21日変更
		令和 3年 1月25日登記
株式の譲渡制限に関する規定	当会社の株式の譲渡による取得については、取締役会の承認を要する。	
役員に関する事項	取締役 <u>ティエリー・ポルテ</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
	取締役 <u>ティエリー・ポルテ</u>	令和 2年 6月19日重任
		令和 2年 6月23日登記
	取締役 <u>西田 恵美</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
	取締役 <u>西田 恵美</u>	令和 2年 6月19日重任
		令和 2年 6月23日登記
	取締役 <u>ジョセフ・マイヤー</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
		令和 2年 3月25日辞任
		令和 2年 3月30日登記

<u>取締役</u>	<u>伊藤隆敏</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
<u>取締役</u>	<u>伊藤隆敏</u>	令和 2年 6月19日重任
		令和 2年 6月23日登記
<u>取締役</u>	<u>色川徹</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
<u>取締役</u>	<u>色川徹</u>	令和 2年 6月19日重任
		令和 2年 6月23日登記
<u>取締役</u>	<u>デイヴィッド・モーガン</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
<u>取締役</u>	<u>デイヴィッド・モーガン</u>	令和 2年 6月19日重任
		令和 2年 6月23日登記
		令和 3年 6月30日辞任
		令和 3年 7月13日登記
<u>取締役</u>	<u>デイヴィッド・ハウスン</u>	令和 3年 7月 1日就任
		令和 3年 7月13日登記
<u>取締役</u>	<u>クリストファー・エー・アイザックソン</u>	令和 3年 7月 1日就任
		令和 3年 7月13日登記
<u>取締役</u>	<u>ジョン・エフ・ディーターズ</u>	令和 3年 7月 1日就任
		令和 3年 7月13日登記
<u>東京都港区高輪一丁目23番23号シティタワー高輪2306号</u> <u>代表取締役</u>	<u>色川徹</u>	平成30年 6月26日重任
		平成30年 7月 9日登記
<u>東京都港区高輪一丁目23番23号シティタワー高輪2306号</u> <u>代表取締役</u>	<u>色川徹</u>	令和 2年 6月19日重任
		令和 2年 6月23日登記

	<u>監査役</u>	<u>トーマス・ウィッソン</u>	平成28年 5月17日就任
			平成28年 5月25日登記
	<u>監査役</u>	<u>トーマス・ウィッソン</u>	令和 2年 6月19日重任
			令和 2年 6月23日登記
	<u>会計監査人</u>	<u>新日本有限責任監査法人</u>	平成30年 6月26日重任
			平成30年 7月 9日登記
	<u>会計監査人</u>	<u>EY新日本有限責任監査法人</u>	平成30年 7月 1日新日本有限責任監査法人の名称変更
			平成30年 7月 9日登記
	<u>会計監査人</u>	<u>EY新日本有限責任監査法人</u>	令和 1年 6月20日重任
			令和 1年 6月24日登記
	<u>会計監査人</u>	<u>EY新日本有限責任監査法人</u>	令和 2年 6月19日重任
			令和 2年 6月23日登記
	<u>会計監査人</u>	<u>EY新日本有限責任監査法人</u>	令和 3年 6月24日重任
			令和 3年 7月13日登記
		令和 3年12月21日辞任	
		令和 3年12月24日登記	
	<u>会計監査人</u>	<u>有限責任あずさ監査法人</u>	令和 3年12月20日就任
			令和 3年12月24日登記
非業務執行取締役等の会社に対する責任の制限に関する規定	<p>当社は、会社法第427条第1項の規定により、取締役（業務執行取締役等であるものを除く。）との間に、同法423条第1項の賠償責任を限定する契約を締結することができる。ただし、当該契約に基づく賠償責任の限度額は、法令が規定する額とする。</p> <p>当社は、会社法第427条第1項の規定により、監査役との間に、同法423条第1項の賠償責任を限定する契約を締結することができる。ただし、当該契約に基づく賠償責任の限度額は、法令が規定する額とする。</p> <p>平成28年 9月28日設定 平成28年10月12日登記</p>		
取締役会設置会社に関する事項	取締役会設置会社		

東京都港区赤坂四丁目9番25号新東洋赤坂ビル  
Cboeジャパン株式会社

監査役設置会社に関する事項	監査役設置会社
会計監査人設置会社に関する事項	会計監査人設置会社 平成23年 6月24日設定 平成23年 6月28日登記
登記記録に関する事項	設立 平成21年 3月17日登記



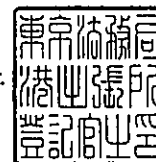
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これは登記簿に記録されている閉鎖されていない事項の全部であることを証明した書面である。

令和 4年 2月 3日

東京法務局港出張所  
登記官

瀧澤 秀行



**HHH Cboe Technology Philippines Inc.**



REPUBLIC OF THE PHILIPPINES  
**SECURITIES AND EXCHANGE COMMISSION**  
Ground Floor, Secretariat Building, PICC  
City Of Pasay, Metro Manila

COMPANY REG. NO. CS201840192

**CERTIFICATE OF FILING  
OF  
AMENDED ARTICLES OF INCORPORATION**

**KNOW ALL PERSONS BY THESE PRESENTS:**


This is to certify that the amended articles of incorporation of the

**CBOE TECHNOLOGY PHILIPPINES INC.**  
(Formerly: CHI-X GLOBAL TECHNOLOGY (PHILIPPINES) INC.)  
(Amending Article I thereof)

copy annexed, adopted on January 20, 2022 by majority vote of the Board of Directors and by the vote of the stockholders owning or representing at least two-thirds of the outstanding capital stock, and certified under oath by the Corporate Secretary and a majority of the Board of Directors of the corporation was approved by the Commission on this date pursuant to the provision of Section 15 of the Revised Corporation Code of the Philippines, Republic Act No. 11232, which took effect on February 23, 2019, and copies thereof are filed with the Commission.

Unless this corporation obtains or already has obtained the appropriate Secondary License from this Commission, this Certificate does not authorize it to undertake business activities requiring a Secondary License from this Commission such as, but not limited to acting as: broker or dealer in securities, government securities eligible dealer (GSED), investment adviser of an investment company, close-end or open-end investment company, investment house, transfer agent, commodity/financial futures exchange/broker/merchant, financing/lending company and time shares/club shares/membership certificates issuers or selling agents thereof; nor to operate a fiat money to virtual currency exchange. Neither does this Certificate constitute as permit to undertake activities for which other government agencies require a license or permit.

IN WITNESS WHEREOF, I have set my hand and caused the seal of this Commission to be affixed to this Certificate at Pasay City, Metro Manila, Philippines, this 8<sup>th</sup> day of March, Twenty Twenty Two.

  
DANIEL P. GABUYO  
Assistant Director  
SO Order 1188 Series of 2018

PGA/qba

# COVER SHEET

## for Applications at COMPANY REGISTRATION AND MONITORING DEPARTMENT

Nature of Application <b>AMENDMENT OF ARTICLES OF INCORPORATION AND BY-LAWS</b>	SEC Registration Number <b>CS201840192</b>
--	---

Former Company Name <b>CHI-X GLOBAL TECHNOLOGY (PHILIPPINES) INC.</b>
--


AMENDED TO: New Company Name <b>CBOE TECHNOLOGY PHILIPPINES INC. (FORMERLY: CHI-X GLOBAL TECHNOLOGY (PHILIPPINES) INC.)</b>
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Principal Office (No./Street/Barangay/City/Town) Province <b>10th Floor Unit AB, North Tower, Rockwell Business Center Sheridan, Sheridan Street corner United Street, Highway Hills, Mandaluyong City, 1550</b>
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<b>COMPANY INFORMATION</b>		
Company's Email Address	Company's Telephone Number/s	Mobile Number

<b>CONTACT PERSON INFORMATION</b>			
The designated person <b>MUST</b> be a Director/Trustee/Partner/Resident Agent of the Corporation			
Name of Contact Person	Email Address	Telephone Number/s	Mobile Number
<b>Atty. Rina Fajardo-Nacin</b>	<b>cdfajardo@accralaw.com</b>	<b>8830-8000</b>	

Contact Person's Address

<b>To be accomplished by CRMD Personnel</b>		
Assigned Processor:	Date	Signature
_____	_____	_____
_____	_____	_____

Document I.D.

Received by Corporate Filing and Records Division (CFRD)
_____

Forwarded to:		
<input type="checkbox"/>	Corporate and Partnership Registration Division	_____
<input type="checkbox"/>	Green Lane Unit	_____
<input type="checkbox"/>	Financial Analysis and Audit Division	_____
<input type="checkbox"/>	Licensing Unit	_____
<input type="checkbox"/>	Compliance Monitoring Division	_____

### **III Cboe Digital Exchange, LLC**

# Delaware

Page 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "ERIS EXCHANGE, LLC", CHANGING ITS NAME FROM "ERIS EXCHANGE, LLC" TO "CBOE DIGITAL EXCHANGE, LLC", FILED IN THIS OFFICE ON THE TWENTY-NINTH DAY OF SEPTEMBER, A.D. 2022, AT 6:40 O`CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID RESTATED CERTIFICATE IS THE FIRST DAY OF OCTOBER, A.D. 2022.



  
Jeffrey W. Bullock, Secretary of State

4785569 8100  
SR# 20223658318

Authentication: 204531157  
Date: 10-03-22

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 06:40 PM 09/29/2022  
FILED 06:40 PM 09/29/2022  
SR 20223658318 - File Number 4785569

**AMENDED AND RESTATED  
CERTIFICATE OF FORMATION  
OF  
ERIS EXCHANGE, LLC**

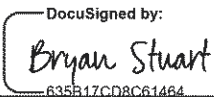
The limited liability company filed its original Certificate of Formation with the Secretary of State of the State of Delaware on February 4, 2010, under the name Eris Exchange, LLC. This Amended and Restated Certificate of Formation of the limited liability company, which restates and integrates and also further amends the provisions of the limited liability company's Certificate of Formation, has been duly executed and is being filed in accordance with the Delaware Limited Liability Company Act (6 Del. C. § 18-208). The Certificate of Formation of the limited liability company is hereby amended, integrated and restated in its entirety to read as follows:

- FIRST:** The name of the limited liability company is Cboe Digital Exchange, LLC (the "Company").
- SECOND:** The address of the registered office of the Company in the State of Delaware is The Corporation Trust Company, 1209 Orange Street, Wilmington, DE, 19801. The name of its registered agent at such address is The Corporation Trust Company.
- THIRD:** The debts, obligations and liabilities of the Company, whether arising in contract, tort or otherwise, shall be solely the debts, obligations and liabilities of the Company, and no member or manager of the Company shall be obligated personally for any such debt, obligation or liability of the Company solely by reason of being a member or acting as a manager of the Company.
- FOURTH:** This Amended and Restated Certificate of Formation is effective as of October 1, 2022.
- FIFTH:** The Company shall have perpetual existence.

*[Signature page follows]*

**IN WITNESS WHEREOF**, the undersigned has caused this Amended and Restated Certificate of Formation of Eris Exchange, LLC to be executed as of this 30th day of September, 2022.

**ERIS EXCHANGE, LLC**

DocuSigned by:  
  
By: \_\_\_\_\_  
635B17CD8C61464  
Name: Bryan Stuart  
Title: Chief Financial Officer

**JJ Cboe Digital Intermediate Holdings, LLC**

# Delaware

Page 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "ERIS DIGITAL HOLDINGS, LLC", CHANGING ITS NAME FROM "ERIS DIGITAL HOLDINGS, LLC" TO "CBOE DIGITAL INTERMEDIATE HOLDINGS, LLC", FILED IN THIS OFFICE ON THE TWENTY-NINTH DAY OF SEPTEMBER, A.D. 2022, AT 6:43 O`CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID RESTATED CERTIFICATE IS THE FIRST DAY OF OCTOBER, A.D. 2022.



  
Jeffrey W. Bullock, Secretary of State

6637944 8100  
SR# 20223658319

Authentication: 204556133  
Date: 10-05-22

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 06:43 PM 09/29/2022  
FILED 06:43 PM 09/29/2022  
SR 20223658319 - File Number 6637944

**AMENDED AND RESTATED  
CERTIFICATE OF FORMATION  
OF  
ERIS DIGITAL HOLDINGS, LLC**


The limited liability company filed its original Certificate of Formation with the Secretary of State of the State of Delaware on November 29, 2017, under the name Eris Digital Holdings, LLC. This Amended and Restated Certificate of Formation of the limited liability company, which restates and integrates and also further amends the provisions of the limited liability company's Certificate of Formation, has been duly executed and is being filed in accordance with the Delaware Limited Liability Company Act (6 Del. C. § 18-208). The Certificate of Formation of the limited liability company is hereby amended, integrated and restated in its entirety to read as follows:

- FIRST:** The name of the limited liability company is Cboe Digital Intermediate Holdings, LLC (the "Company").
- SECOND:** The address of the registered office of the Company in the State of Delaware is The Corporation Trust Company, 1209 Orange Street, Wilmington, DE, 19801. The name of its registered agent at such address is The Corporation Trust Company.
- THIRD:** The debts, obligations and liabilities of the Company, whether arising in contract, tort or otherwise, shall be solely the debts, obligations and liabilities of the Company, and no member or manager of the Company shall be obligated personally for any such debt, obligation or liability of the Company solely by reason of being a member or acting as a manager of the Company.
- FOURTH:** This Amended and Restated Certificate of Formation is effective as of October 1, 2022.
- FIFTH:** The Company shall have perpetual existence.

*[Signature page follows]*

**IN WITNESS WHEREOF**, the undersigned has caused this Amended and Restated Certificate of Formation of Eris Digital Holdings, LLC to be executed as of this 29th day of September, 2022.

**ERIS DIGITAL HOLDINGS, LLC.**

By:  \_\_\_\_\_  
Name: John Palmer  
Title: President

**KKK Cboe Clear Digital, LLC**

# Delaware

Page 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "ERIS CLEARING, LLC", CHANGING ITS NAME FROM "ERIS CLEARING, LLC" TO "CBOE CLEAR DIGITAL, LLC", FILED IN THIS OFFICE ON THE TWENTY-NINTH DAY OF SEPTEMBER, A.D. 2022, AT 6:47 O`CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID RESTATED CERTIFICATE IS THE FIRST DAY OF OCTOBER, A.D. 2022.



  
Jeffrey W. Bullock, Secretary of State

6579164 8100  
SR# 20223658320

Authentication: 204535903  
Date: 10-03-22

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 06:47 PM 09/29/2022  
FILED 06:47 PM 09/29/2022  
SR 20223658320 - File Number 6579164

**AMENDED AND RESTATED  
CERTIFICATE OF FORMATION  
OF  
ERIS CLEARING, LLC**

The limited liability company filed its original Certificate of Formation with the Secretary of State of the State of Delaware on October 16, 2017, under the name Eris Clearing, LLC. This Amended and Restated Certificate of Formation of the limited liability company, which restates and integrates and also further amends the provisions of the limited liability company's Certificate of Formation, has been duly executed and is being filed in accordance with the Delaware Limited Liability Company Act (6 Del. C. § 18-208). The Certificate of Formation of the limited liability company is hereby amended, integrated and restated in its entirety to read as follows:

- FIRST:** The name of the limited liability company is Cboe Clear Digital, LLC (the "Company").
- SECOND:** The address of the registered office of the Company in the State of Delaware is The Corporation Trust Company, 1209 Orange Street, Wilmington, DE, 19801. The name of its registered agent at such address is The Corporation Trust Company.
- THIRD:** The debts, obligations and liabilities of the Company, whether arising in contract, tort or otherwise, shall be solely the debts, obligations and liabilities of the Company, and no member or manager of the Company shall be obligated personally for any such debt, obligation or liability of the Company solely by reason of being a member or acting as a manager of the Company.
- FOURTH:** This Amended and Restated Certificate of Formation is effective as of October 1, 2022.
- FIFTH:** The Company shall have perpetual existence.

*[Signature page follows]*

**IN WITNESS WHEREOF**, the undersigned has caused this Amended and Restated Certificate of Formation of Eris Clearing, LLC to be executed as of this 29th day of September, 2022.

**ERIS CLEARING, LLC**

By: \_\_\_\_\_  
Name: **Bryan Stuart**  
Title: **Chief Financial Officer**

DocuSigned by:  
*Bryan Stuart*  
635B17CD8C61464...

**LLL Cboe Clear Digital Holdings, LLC**

# Delaware

Page 1

The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "ERIS CLEARING HOLDINGS, LLC", CHANGING ITS NAME FROM "ERIS CLEARING HOLDINGS, LLC" TO "CBOE CLEAR DIGITAL HOLDINGS, LLC", FILED IN THIS OFFICE ON THE TWENTY-NINTH DAY OF SEPTEMBER, A.D. 2022, AT 6:49 O`CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID RESTATED CERTIFICATE IS THE FIRST DAY OF OCTOBER, A.D. 2022.



  
Jeffrey W. Bullock, Secretary of State

6579166 8100  
SR# 20223658321

Authentication: 204556168  
Date: 10-05-22

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 06:49 PM 09/29/2022  
FILED 06:49 PM 09/29/2022  
SR 20223658321 - File Number 6579166

**AMENDED AND RESTATED  
CERTIFICATE OF FORMATION  
OF  
ERIS CLEARING HOLDINGS, LLC**

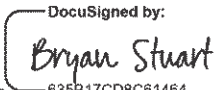
The limited liability company filed its original Certificate of Formation with the Secretary of State of the State of Delaware on October 16, 2017, under the name Eris Clearing Holdings, LLC. This Amended and Restated Certificate of Formation of the limited liability company, which restates and integrates and also further amends the provisions of the limited liability company's Certificate of Formation, has been duly executed and is being filed in accordance with the Delaware Limited Liability Company Act (6 Del. C. § 18-208). The Certificate of Formation of the limited liability company is hereby amended, integrated and restated in its entirety to read as follows:

- FIRST:** The name of the limited liability company is Cboe Clear Digital Holdings, LLC (the "Company").
- SECOND:** The address of the registered office of the Company in the State of Delaware is The Corporation Trust Company, 1209 Orange Street, Wilmington, DE, 19801. The name of its registered agent at such address is The Corporation Trust Company.
- THIRD:** The debts, obligations and liabilities of the Company, whether arising in contract, tort or otherwise, shall be solely the debts, obligations and liabilities of the Company, and no member or manager of the Company shall be obligated personally for any such debt, obligation or liability of the Company solely by reason of being a member or acting as a manager of the Company.
- FOURTH:** This Amended and Restated Certificate of Formation is effective as of October 1, 2022.
- FIFTH:** The Company shall have perpetual existence.

*[Signature page follows]*

**IN WITNESS WHEREOF**, the undersigned has caused this Amended and Restated Certificate of Formation of Eris Clearing Holdings, LLC to be executed as of this 29th day of September 2022.

**ERIS CLEARING HOLDINGS, LLC**

By:  \_\_\_\_\_  
Name: Bryan Stuart  
Title: Chief Financial Officer