



Regulatory Fees

Description	Fee	Notes
Options Regulatory Fee ("ORF") (37) (42) (46)	\$0.0023 per contract side effective through June 30, 2026 \$0.0017 per contract side effective July 1, 2026	Effective through June 30, 2026 The ORF is assessed by Cboe Options to each Trading Permit Holder on each side of a transaction for options transactions cleared by the Trading Permit Holder that are cleared by The Options Clearing Corporation (OCC) in the customer range, regardless of the exchange on which the transaction occurs. Cboe Options uses reports from OCC when assessing and collecting the ORF. The fee is collected by OCC on behalf of Cboe Options from the Clearing Trading Permit Holder (CTPH) or non-CTPH on each side of the transaction that ultimately clears the transaction. With respect to linkage transactions, Cboe Options reimburses its routing broker providing Routing Services pursuant to Cboe Options Rule 5.36 for options regulatory fees it incurs in connection with the Routing Services it provides. The ORF will sunset on June 30, 2026, after which the ORF rate will revert back to \$0.0017 per contract side. Effective as of July 1, 2026 The ORF is assessed by Cboe Options to each Trading Permit Holder on each side of a transaction for options transactions cleared by the Trading Permit Holder that are cleared by The Options Clearing Corporation (OCC) in the customer range for executions that occur on Cboe Options. Cboe Options uses reports from OCC when assessing and collecting the ORF. The fee is collected by OCC on behalf of Cboe Options from the Clearing Trading Permit Holder (CTPH) or non-CTPH on each side of the transaction that ultimately clears the transaction. With respect to linkage transactions, Cboe Options reimburses its routing broker providing Routing Services pursuant to Cboe Options Rule 5.36 for options regulatory fees it incurs in connection with the Routing Services it provides. The ORF will sunset on June 30, 2026, after which the ORF rate will revert back to \$0.0017 per contract side.
Firm Designated Examining Authority Fee (37) (42)	\$0.60 per \$1,000 of gross revenue	Subject to a monthly minimum fee of \$1,500 for clearing firms and \$400 for non-clearing firms – As reported on quarterly FOCUS Report, Form X-17A-5. Excludes commodity commission revenue. The Firm Designated Examining Authority ("DEA") Fee is assessed quarterly; if the Exchange is the DEA for a TPH for less than all three months of the relevant quarter, the Firm DEA Fee for the TPH for that quarter is prorated based on the number of months in the quarter in which the Exchange acted as DEA for the TPH

The following fees will be collected and retained by FINRA via the Web CRDSM registration system for the registration of associated persons of Exchange Trading Permit Holder and TPH organizations that are not also FINRA members.

Web CRD SM Fees	General Registration Fees	Fee	Notes
	FINRA Non-Member Processing Fee	\$125	For all Initial, Transfer, Relicense, Dual registration Form U-4 filings. This fee will also be generated upon refiling to Web CRDSM of Cboe Options – only registered individuals.
	FINRA Disclosure Processing Fee (U-4, U-5, Form BD & amendments)	\$155	For all registration, transfer, or termination filings with new or amended disclosure information or that require certification as well as any amendment to disclosure information.
	[FINRA Annual System Processing Fee Assessed only during Renewals]	[\$45] [\$70]	[\$45 through December 31, 2023.] [\$70 effective January 2, 2024.]
	FINRA Annual System Processing Fee Assessed only during Renewals	Fee	
Web CRD SM Fees	1 - 5 Securities Regulators	\$70	
	6 - 20 Securities Regulators	\$95	Fee calculated based on total number of securities regulators with which each registered person of a TPH is registered, excluding registration as an investment advisor representative.
	21 - 40 Securities Regulators	\$110	
	41+ Securities Regulators	\$125	
Web CRD SM Fees	Fingerprint Processing Fees	Fee Per Card	Notes
		Paper Electronic	
	Initial Submission	\$41.25	\$31.25
	Second Submission	\$30.00	\$20.00
	Third Submission	\$41.25	\$31.25
	Other	\$30.00	Submitted by Trading Permit Holders or TPH organizations on behalf of their associated persons who have had their prints processed through a self-regulatory organization ("SRO") other than FINRA.
Web CRD SM Fees	Continuing Education Fees	Fee	Notes
	All Registration	[\$18] \$25	
	Qualification Examination Waiver Request Fee	\$200 per exam waiver request	This fee is assessed to a Trading Permit Holder for each waiver request of a non-FINRA examination submitted by the Trading Permit Holder.