



Describe \_\_\_\_\_

\$ \_\_\_\_\_

**II. FINANCING ARRANGEMENTS**

C2 Rule 8.10 governs the financing of market makers by non-broker-dealers. Each market maker who makes an arrangement with a non-broker-dealer to finance the market maker's transactions as a market maker is required by Rule 8.10 to identify to the C2 Department of Member Firm Regulation: (i) the sources(s) of any such financing; (ii) the terms of any such financing; and (iii) the termination of, or any changes to, any such financing arrangement. The form to be used to report any such financing arrangements is available from the Department of Member Firm Regulation (312-786-7937).

If the organization is **applying to be approved as a Market Maker**:

13. Has the organization received any financing from, or made any financing arrangements with, any non-broker-dealer to finance your transactions as a market maker? ..... Yes \_\_\_ No \_\_\_  
Describe \_\_\_\_\_

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

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

15. Has the organization borrowed funds from any broker-dealer that are to be used for trading or other business purposes? ..... Yes \_\_\_ No \_\_\_  
Describe \_\_\_\_\_

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

**ORGANIZATION CONSENT TO JURISDICTION**

The organization hereby agrees on behalf of itself and its associated persons to abide by the Bylaws and Rules of C2, as they shall be in effect from time to time.

The organization authorizes any governmental agency, national securities exchange, national securities association, commodities exchange or other entity to furnish to C2, upon request, any information they may have concerning the organization, and the organization hereby releases each such entity from any and all liability of whatsoever nature by reason of furnishing such information to C2.

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

The organization agrees to promptly update its application materials if any of the information provided in these materials becomes inaccurate or incomplete after the date of submission of its application to C2 and prior to any approval of the application.

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

\_\_\_\_\_  
Authorized Signatory's Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Signatory

\_\_\_\_\_  
Date