

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

APPLICATION FOR A PERMIT HOLDER ORGANIZATION TO QUALIFY TO CONDUCT A NON-MEMBER CUSTOMER BUSINESS

Name of Permit Holder Organization: _____

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

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

Main Office Address: _____

City _____ State _____ Zip Code _____

Corporation Limited Liability Company Partnership

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

Senior Registered Options Principal (SROP): Name _____

Phone # _____ Fax # _____ CRD # _____

Title _____ E-Mail _____

Financial and Operations Principal (FINOP): Name _____

Phone # _____ Fax # _____ CRD # _____

Title _____ E-Mail _____

Name of Organization's Certified Public Accountant _____

Address _____

City _____ State _____ Zip Code _____

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

Name of Authorized Signatory of Permit Holder Organization _____

(Signature of Authorized Signatory of Permit Holder Organization)

Title _____ Date _____

Please submit the following information to the Department of Member Firm Regulation

For introducing firms and/or clearing firms:

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

Indicate other exchange memberships currently held _____

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

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

Indicate other exchange memberships currently held _____