

(Changes are indicated by underlining additions and [bracketing deletions].)

Chicago Board Options Exchange, Incorporated

Fees Schedule - February 3, 2014

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Regulatory Fees					
Description		Fee	Notes		
Options Regulatory Fee ("ORF")		\$0.0074 per contract through December 31, 2013, \$0.0095 per contract effective January 1, 2014	The ORF is assessed by CBOE to each Trading Permit Holder for all options transactions executed or 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. The fee is collected indirectly from Trading Permit Holders through their clearing firms by OCC on behalf of CBOE.		
DPM's and Firm Designated Examining Authority Fee		\$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 following fees will be collected and retained by FINRA via the Web CRD SM 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		Notes		
	FINRA Non-Member Processing Fee		\$100	For all Initial, Transfer, Relicense, Dual registration Form U-4 filings. This fee will also be generated upon re-filing to Web CRD SM of CBOE – only registered individuals.	
	FINRA Disclosure Processing Fee (U-4, U-5, Form BD & amendments)		\$110	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		
	Fingerprint Processing Fees		Fee Per Card	Notes	
			Paper	Electronic	
		Initial Submission	\$44.50	\$29.50	
		Second Submission	\$30.00	\$15.00	
		Third Submission	\$44.50	\$29.50	
	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.	
Communication Review Fee		Regular Review	1) for printed material reviewed, \$150 per submission, plus \$25 for each page reviewed in excess of 5 pages; and 2) for video and audio media reviewed, \$150 per submission, plus \$25 per minute for each minute of tape reviewed in excess of 5 minutes.		
		Expedited Review	1) for printed material reviewed, \$1,000 per submission, plus \$50 for each page reviewed in excess of 5 pages; and 2) for video and audio media reviewed, \$1,000 per submission, plus \$50 per minute for each minute of tape reviewed in excess of 5 minutes. Expedited review will be completed within five business days, not including the date the item is received by the Exchange, unless a shorter or longer period is agreed to by the Exchange. The Exchange may, in its sole discretion, refuse requests for expedited review.		
Continuing Education Fee	Series 56 Registration only		\$60	There shall be a session fee for each individual who is required to complete the Regulatory Element of the Continuing Education Requirements pursuant to CBOE Rule 9.3A.	
	All Registrations Except the Series 56		\$100		
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 (e.g., Series 56 examination) submitted by the Trading Permit Holder.	

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