

Chicago Board Options Exchange, Incorporated

Fees Schedule - October 3[2]0, 2015

Regulatory Fees			
Description	Fee	Notes	
Options Regulatory Fee ("ORF") (Also applies to ETH)(37)	\$0.0086 per contract through July 31, 2015, \$0.0064 per contract effective August 1, 2015.	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 (Also applies to ETH)(37)	\$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.	
Trading Permit Holder Regulatory Fee	\$90 per permit per month	The Trading Permit Holder Regulatory Fee is non-refundable and is assessed through the integrated billing system during the first week of the following month. If a Trading Permit is issued during a calendar month after the first trading day of the month, the Trading Permit Holder Regulatory Fee for the Trading Permit for that calendar month is prorated based on the remaining trading days in the calendar month.	
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 CRDSM Fees	General Registration Fees		
	Fee		
	FINRA Non-Member Processing Fee	\$100	For all Initial, Transfer, Relicense, Dual registration Form U-4 filings. This fee will also be generated upon refiling 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		Notes
	Fee Per Card		
		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.
Continuing Education Fees		Notes	
Fee			
Series 56 Registration only	\$60		
All Registration Except the Series 56	Test Center	Web-based	
	\$100	\$55	
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.	
