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## CFE Position Accountability Information Form

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**Submit to:**

**Cboe Futures Exchange (CFE)**

**Attn: CFE Regulation**

**E-mail: [CFEReg@cboe.com](mailto:CFEReg@cboe.com)**

Please refer to CFE Rule 412A, Position Accountability, for CFE requirements related to position accountability.

Reporting Market Participant (MP) as defined in CFE Rule 308(c): \_\_\_\_\_

Clearing Number of MP if MP is a Trading Privilege Holder (TPH): \_\_\_\_\_ CFTC Reporting ID: \_\_\_\_\_

Product(s): \_\_\_\_\_

Desired Time Duration to Exceed Position Accountability Level Without Providing Accountability Form(s): \_\_\_\_\_

Account Information			Futures Position
Name	Address	Account Number	Maximum Number of Contracts Market Participant Intends To Enter Into
<b>TOTAL</b>			

Describe the current nature and size of applicable positions: \_\_\_\_\_

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Describe the trading strategy employed with respect these positions: \_\_\_\_\_

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Describe the MP's intentions with respect to the positions \_\_\_\_\_

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Describe any hedging activities relating to the positions, if applicable: \_\_\_\_\_

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Describe whether the positions are subject to aggregation under CFE Rule 412A(f). Identify accounts (if applicable) that are subject to aggregation if applicable. \_

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MP represents and covenants to CFE as follows:

1. Each transaction or position that is described above is necessary or advisable as an integral part of the business of MP. A description of the business of MP is as follows: \_\_\_\_\_

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2. The current and planned activity in the market underlying the Contract for which it is requested to hold positions in excess of the applicable position accountability level is as follows: \_\_\_\_\_

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3. The positions involved will be initiated and liquified in an orderly manner based upon the characteristics of the applicable market and in accordance with CFE Rules.

4. CFE, pursuant to CFE Rule 412A (e)(ii) may, in its sole discretion, require the MP (a) not to further increase any positions that are above the applicable position accountability levels, (b) to reduce any positions that are above the applicable position accountability levels, or (c) to comply with any

prospective levels or limits prescribed by CFE which equal or exceed the applicable position accountability levels or the size of the positions controlled by the MP.

5. MP shall hold all positions in excess of the applicable position accountability levels in an account or accounts designated in writing to the Exchange and shall not transfer or move the positions to another account absent advance written notice to and approval by the Exchange;
6. MP will comply with any terms, conditions, or limitations imposed by CFE with respect to the positions involved.
7. MP will promptly provide, upon request of CFE, information or documentation regarding the MP's financial condition.
8. CFE may, at any time, rescind, limit or condition any approval to exceed the applicable position accountability levels.
9. MP will promptly submit a supplemental statement explaining any material change in circumstances that may affect the nature of its positions and any material change to the information provided herein.
10. MP will comply with all CFE rules, including Rule 412A and not use the positions involved to violate or avoid any CFE rule, and/or CFTC regulation.
11. All information MP set forth in this form is accurate and complete.

\_\_\_\_\_   
 Report Date

Prepared by: \_\_\_\_\_

Signature \_\_\_\_\_

Attach additional sheets as needed to complete the above questions.

Form Version 9/21