

MARKET REGULATION ADVISORY NOTICE

Exchange	CME, CBOT, NYMEX & COMEX
Subject	Reminder Regarding Correct Submission of Customer Type Indicator (CTI) Codes
Rule References	Rule 536.D.
Advisory Date	January 3, 2012
Advisory Number	CME Group RA1201-5

Commodity Futures Trading Commission Regulation 1.35 (“Records of cash commodity, futures, and options transactions”) and CME, CBOT, NYMEX and COMEX Rule 536.D. (“Customer Type Indicator (CTI) Codes”) require that an accurate customer type indicator code (“CTI Code”) must be submitted for every transaction executed electronically or by open outcry. This Advisory Notice is being issued to remind clearing members of the requirement for the accurate submission of CTI Codes.

Rule 536.D. indicates that it is the responsibility of clearing member firms to ensure that each electronic and open outcry transaction submitted to the Exchanges includes the correct CTI Code. Clearing firms should take steps to ensure that they have processes and procedures in place that result in the accurate submission of CTI Codes. Clearing firms are reminded that failure to transmit accurate CTI Codes in accordance with Rule 536.D. may result in disciplinary action.

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