



Guidelines for Trading Floor Access

Updated April 2021

As CME Group operates its Eurodollar Options pit during the COVID-19 pandemic, the following policies and standards of conduct apply to anyone accessing 333 S. LaSalle until further notice. Please note that CME Group reserves the right to make changes to the process for conducting business on the trading floor as local government guidance and local conditions evolve.

Standards of Conduct

A Market Regulation Advisory Notice was issued in July to provide requirements and conditions that members and employees of members must meet to access the trading floor when it reopens. Strict adherence to these requirements and conditions is critical to provide for the safety of all parties on the trading floor, including CME Group employees. Failure to comply with these requirements and conditions will result in the matter being directed to the Chief Regulatory Officer for handling, pursuant to the provisions of Rule 513.B.4, Rule 513.B.5., and Rule 406. The Advisory Notice can be found [here](#).

Waiver and Indemnification Agreement

- Everyone accessing the trading floor will be required to sign a waiver of liability. In addition, firms and members with employees on the trading floor will be required to sign an indemnification agreement. The waivers and indemnification agreements can be found [here](#).
- Badge access is limited to members and employees of members who have submitted their signed liability waiver and, if applicable, indemnification agreement at least 48 hours in advance. No one will be able to immediately enter the facility by presenting their waiver or indemnification agreement onsite.

Entering 333 S. LaSalle

- No one will be permitted to enter the trading floor building unless they are a member or employee of a member who is transacting business on the trading floor, or a CME Group trading floor employee. Visitors and media will not be allowed at this time to limit capacity and encourage maximum social distancing.
- Entry to the trading floor building will be limited to the ground floor lobby entrance at 333 S. LaSalle. The 4th floor entrance from 141 W. Jackson will be closed.
- Anyone entering the building must be wearing a CME Group-approved face mask and observe social distancing measures and signage throughout the building. Scarves and bandanas will not be allowed to serve as masks. Those who do not have an acceptable face mask or who do not comply with the face mask and social distancing requirements will not be allowed to enter the building.
 - All masks should have two or three layers of material and should not have a valve on the front or side.

- Upon building entry, everyone will be required to submit to a health and temperature screening as described below.
- We strongly discourage the use of public transportation. Extra bike racks will be available.

Required Health Assessment Procedures

- Individuals entering the building will be subject to a health screening through a mobile phone tool that will be available for free download. Using the tool each day will be required for all members, employees of members and CME Group trading floor employees.
 - The questions asked for the screening will gauge the individual's potential symptoms (fever, etc.) or exposure to a COVID-19-positive individual.
 - Depending on the answers provided by the user, the tool will either clear individuals to enter the building, or instruct them not to enter. For those who are cleared, the health screening tool will produce an entry pass screen with a date stamp to authorize entry to the building for that particular day. Individuals will need to show that screen to Security upon each entry into the building.
 - Only those individuals cleared for entry will be allowed to access the trading floor.
- Temperature screening in addition to the web-based health screening, also is mandatory.
 - All individuals entering the building will have their temperature taken to confirm that it does not exceed 100.4. Those whose temperatures do not exceed 100.4 may proceed to the trading floor.
 - Anyone exhibiting symptoms of COVID-19 should remain at home.
 - Anyone with a temperature exceeding 100.4 or exhibiting symptoms of COVID-19 in our building will be assessed by a nurse who will determine whether they can remain in the building or should leave immediately. The nurse's decision will be binding. Individuals will be required to self-quarantine for a defined period of time, but may seek to return earlier by submitting documentation to CME Group's Health Care Center from a medical professional attributing their fever or symptoms to a non-COVID-19 condition. CME Group's Health Care Center will make a decision as to whether to allow the individual back on the trading floor, which will be binding.
- The Health Care Center staff will track individuals denied entry to the Trading Floor and notify Trading Floor Operations, Security and Membership for purposes of removing and restarting badge access.

Positive Cases of COVID-19

- Anyone confirmed positive for COVID-19 or who is advised by a health care provider that they are presumed to be positive for COVID-19 is required to notify the Health Care Center as soon as possible and before accessing the building.
- If a member of the trading floor community is confirmed or presumed positive for COVID-19, they will be required to identify the people they may have come in close contact with in our facility, in addition to who they stand by on the floor. Those individuals will be notified of the contact.
- CME Group will notify the entire trading floor community when someone on the trading floor has been confirmed or presumed positive for COVID-19 and require that the affected individual and anyone in close contact with the affected individual self-quarantine for a

defined period of time.

- CME Group also reserves the right to take additional action to close an individual pit or the entire trading floor, up to and including closing the floor during market hours, to protect the health and safety of our employees and the trading floor community.

Travel

- CME Group will not require a self-quarantine period following any domestic travel for individuals who are fully vaccinated.
- Individuals who are not fully vaccinated and have travelled outside of Illinois will be required to self-quarantine for 10 days. Alternately, individuals who obtain a negative Covid test administered three to five days after returning home may have their self-quarantine time reduced to seven days.
- All international travel will require individuals to self-quarantine according to the timelines above, regardless of vaccination status.
- The travel section of the self-assessment tool will allow individuals to self-certify their vaccination status for the purposes of domestic travel.

Personal Protective Equipment Requirements and Enhanced Cleaning Precautions

- All individuals must wear a CME Group-approved face mask upon entering and throughout the building. Once a trader enters the pit, they must wear a CME Group-approved face shield in addition to their face mask. Once they are located in their designated spot in the pit, traders wearing a face shield may then remove their face mask. However, they must go back to wearing a face mask if they move from their designated spot. Face shields must cover an individual's eyes, nose and mouth entirely. Transparent visors will not be permitted; only full-face shields.
- Traders are encouraged to put their mask on when another individual is crossing through their designated space to exit or enter the pit.
- CME Group employees also must wear a mask at all times, in all areas of the building. They will be required to also wear face shields while walking through the trading pit. However, once they are in a plexiglass-enclosed price reporting station, they may remove the face mask and wear only the face shield. They must go back to wearing both a mask and shield at any time they are in the pit outside of the plexiglass enclosure.
- Compliance of face masks/shields will be strictly enforced for the safety of our trading floor community and our employees.
- The frequency of cleaning high-touch surfaces such as door handles, railings, countertops, vending machines, etc. will increase.
- Each night, the pits and booths will be cleaned with electrostatic disinfectant mist. We suggest that you leave a clean desk surface daily to maximize the effectiveness of disinfecting and avoid damaging any exposed paper files.

- HVAC systems will be operated to increase air turnover rates and increase outside make-up air to the maximum extent practical. Air filters have been replaced and upgraded.

Pit Conduct

- Each member will be assigned their spot in the Eurodollar Options pit based on the previous pit's assignments before the floor closed in March.
- While in the pit, members are required to maintain at least six feet between themselves and others.

Booth Space and Occupancy

- It is the obligation of all members and member firms to assure social distancing and compliance with all City and State mandated COVID-19 guidelines for themselves and their employees.
- Booths that are either immediately adjacent to, or immediately across from, one another do not currently provide for the recommended social distancing.
- If any booths are situated adjacent or across from another booth intended for use during this period, we will contact both booth licensees and coordinate the relocation of one or both booths to accomplish appropriate social distancing. Said booths may not be utilized until such time as the relocation(s) are accomplished to provide for social distancing.
- The cost of booth relocation is the obligation of the member or member firm.
- CME Group strongly encourages booth licensees to limit booth utilization as much as possible. CME Group also encourages booth utilization to prioritize users engaged in trading Eurodollar Options. After compiling booth utilization requests, depending on demand, CME Group reserves the right to limit booth utilization during this period to allow for social distancing.

Common Areas

- Elevator use will be limited to one person at a time.
- There will be designated escalators for access from the lobby up to and down from the trading floor. To ensure minimum social distancing, all individuals accessing the trading floor must leave at least 4 escalator steps between themselves and others.
- Restrooms will follow social distancing guidelines and therefore have a reduced capacity.
- Hand sanitizer will be placed throughout the trading floor, lobby, break areas, restrooms and other common areas of the building.
- All walk-up public computer terminals on the trading floor will be turned off and unavailable.
- The coatroom and locker room will be closed. Trading jackets can be retrieved the first time the trading floor is accessed. Jackets will not be required, but name badges must be

displayed at all times.

Food & Beverage

- Food will not be allowed on the trading floor and will be limited to break room and dining areas.
- The break room and dining areas will be reconfigured to provide for social distancing and limiting to one seat per table.
- The space previously used as a cafeteria will be repurposed as a breakroom for eating. Social distancing should be maintained.
- Masks will not be required while eating in designated dining areas but will be required when entering and exiting said areas.
- Limited food offerings will be available for touchless on-line preordering, payment and delivery to a designated location on the 2nd floor.
- All water fountains will be replaced with touchless water bottle refilling stations.
- Vending machines will be available. CME Group has increased disinfecting of vending machines and will have disinfectant wipes and hand sanitizer by the machines.

Enforcement

- Members, employees of members, and employees of member firms may not, under any circumstances, create a disturbance in connection with these requirements and conditions outlined in this document.
- If someone is observed failing to comply with these requirements and conditions, CME Group staff should be alerted immediately.
- Failure to comply with these requirements and conditions will result in escalating the matter to the Chief Regulatory Officer, who is authorized to impose a fine up to \$5,000 per offense.
- In addition to the foregoing, the Chief Regulatory Officer may order that any party be denied access to any or all CME Group markets or be immediately removed from the trading floor or facility owned or controlled by CME Group.

Any questions on these procedures can be directed to bcm@cmegroup.com.