



Guidelines for Trading Floor Access

Updated April 2022

As CME Group operates its Eurodollar and SOFR 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 2020 to provide requirements and conditions that members and employees of members must meet to access the trading floor. 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.
- 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 who is unvaccinated must be wearing a CME Group-approved face mask. 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.

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.
- 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 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 positive for COVID-19, they will be required to identify the people they may have come in close contact within our facility, in addition to who they stand by on the floor. Those individuals will be notified of the contact.
- CME Group will 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.

Personal Protective Equipment Requirements and Enhanced Cleaning Precautions

- All individuals who are unvaccinated 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 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 spot. Face shields must cover an individual's eyes, nose and mouth entirely. Transparent visors will not be permitted; only full-face shields.
- Compliance of face masks/shields for those who are unvaccinated will be strictly enforced.
- The frequency of cleaning high-touch surfaces such as door handles, railings, countertops, vending machines, etc. will continue.

- 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.

Common Areas

- 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 have been turned off and are unavailable.
- The coatroom and locker room will remain 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 is not allowed on the trading floor and is limited to break room and dining areas.
- The space previously used as a cafeteria has been repurposed as a breakroom for eating.
- All water fountains have been replaced with touchless water bottle refilling stations.
- Vending machines are 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.