

MARKET REGULATION ADVISORY NOTICE

Exchange	CME & CBOT
Subject	Reminder Regarding the Prohibition of Food and Beverages on the Trading Floor
Rule References	Rule 513 and the Access, Conduct and Appearance Code
Advisory Date	February 6, 2018
Advisory Number	CME & CBOT RA1801-3

As a reminder, Rule 513 (“Conduct, Apparel and Badges”) and the Access, Conduct and Appearance Code (“Code”) expressly prohibit carrying or consuming food and beverages on the trading floor. The only exception to the prohibition allows for water, in an approved container, and individually-wrapped (non-chocolate) hard candy and gum on the trading floor.

Members and their employees are reminded that violations of this prohibition are subject to sanctions pursuant to 513.B. (“Sanctions”), which is set forth below.

513.B. Sanctions

1. Designated Exchange officials may impose fines on members or their employees for violations of the Exchange policy concerning access, conduct, and appearance. Fines imposed pursuant to Rule 513.B.1. are final and may not be appealed.
2. A fourth violation of the Exchange policy concerning access, conduct, and appearance within a rolling 18-month period will be subject to a \$1,000 fine.
3. A fifth or subsequent violation of the Exchange policy concerning access, conduct, and appearance within a rolling 18-month period will be referred to a summary proceeding before a Panel of the Floor Conduct Committee. The Panel may impose a fine not to exceed \$5,000 per violation.
4. Notwithstanding any other provision in this Rule, the Chief Regulatory Officer shall have the authority to impose a fine not to exceed \$5,000 per offense on members and their employees for egregious violations of Rule 513.A.
5. The Market Regulation Department, at its discretion, may refer any alleged violation of Rule 513 to the Probable Cause Committee for consideration of charges.

Questions regarding this Advisory Notice may be directed to one of the following individuals:

Barry Schauer, Lead Trading Floor Investigator – Market Regulation, 312.341.7640
Patrick Sheahan, Associate Director – CME Security, 312.930.8220

For media inquiries concerning this Advisory Notice, please contact CME Group Corporate Communications at 312.930.3434 or news@cmegroup.com.