

MARKET REGULATION ADVISORY NOTICE

Exchange	CME
Subject	Reminder Regarding Giving and Receiving of Gratuities
Rule References	Rule 508
Advisory Date	August 30, 2021
Advisory Number	CME RA2102-2

As a reminder, CME Rule 508 (“Giving and Receiving of Gratuities”) prohibits members, member firms and broker associations and employees of these individuals and entities from giving gifts or gratuities in excess of **\$100 per year** to any employee of another member, member firm or broker association. This rule is substantially similar to the restrictions imposed under FINRA Rule 3220 (“Influencing or Rewarding Employees of Others”).

The text of CME Rule 508 is set forth below:

508. GIVING AND RECEIVING OF GRATUITIES

A member, member firm, broker association or an employee of any of the foregoing may not give, directly or indirectly, to any employee of another member, member firm or broker association any gratuities or gifts with an aggregate market value in excess of \$100 within any twelve-month period.

This rule applies notwithstanding any internal policy of an entity that allows for gifts in excess of \$100. The requirements of this rule apply to both the providers and the recipients of such gifts and gratuities.

Questions regarding this advisory may be directed to the following individuals in Market Regulation:

Erin Middleton, Senior Director, Rules & Regulatory Outreach, 312.341.3286

Aaron Smith, Executive Director, Investigations, 312.435.3754

Dawn Massey-Anastasiou, Director, Investigations, 312.341.7608

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