

MARKET REGULATION ADVISORY NOTICE

Exchange	CME
Subject	Reminder Regarding Requirements and Conditions in Connection with Accessing the Trading Floor
Rule References	Various
Advisory Date	October 1, 2021
Advisory Number	CME RA2108-2

As a reminder, CME has disseminated and posted Guidelines for Trading Floor Access (“Guidelines”) outlining the processes and procedures that apply to accessing the trading floor. The Guidelines are available on the CME Group website at www.cmegroup.com/info. These Guidelines are subject to change at any time, and members and their employees remain responsible for ensuring that they review any changes upon notification that they have changed.

Strict adherence to the Guidelines is critical to ensure the safety of all parties on the trading floor, including Exchange staff. Any violation of these requirements and conditions may result in a person being directed to leave the trading floor, and may result in disciplinary action.

Prior to accessing the trading floor, all parties 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. Those forms are available on the CME Group website at www.cmegroup.com/info.

The following non-exhaustive list of requirements and conditions apply to all members and employees of members while on the trading floor:

- Face shields or face masks must be worn in accordance with the Personal Protective Equipment Requirements and Enhanced Cleaning Precautions as set forth in the Guidelines;
- Compliance with the Required Health Assessment Procedures as set forth in the Guidelines, including temperature screening and screening for any other symptoms prior to entering;
- Agreement to leave the trading floor immediately when directed to do so by any Exchange employee or security personnel;
- Agreement not to enter the building with Covid-19 or with any suspicion that you may have Covid-19, and agreement to follow all directions of Exchange staff concerning return to the trading floor;
- Maintenance of social distancing in accordance with the Guidelines;
- Adherence to all posted signs and markers; and
- Adherence to the directions of Exchange staff regarding entry and exit routes, and the use of shared spaces (lobby, coatroom, breakroom).

Members and employees of members may not, **under any circumstances**, create a disturbance in connection with these requirements and conditions. If you observe someone failing to comply with these requirements and conditions, Exchange staff should be alerted immediately.

You must comply with temperature screening and any other required screening prior to being able to enter the trading floor. If you do not, you will not be permitted to enter the trading floor and will be directed to leave the premises immediately. While on the trading floor, you must comply with all directions of Exchange staff, and obey all posted signs and markers, including this Advisory Notice.

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. (“Conduct, Apparel, Badges – Sanctions”) which authorizes the Chief Regulatory Officer to impose a fine up to \$5,000 per offense. Notwithstanding the foregoing, pursuant to Rule 513.B.5., the Market Regulation Department

may also refer the matter to the Chief Regulatory Officer for the issuance of charges pursuant to Rule 406 (“Issuance of Charges”).

Failure to comply with the requirements and conditions set forth in this Advisory Notice and any applicable CME Group policies may be deemed to violate the following rules, or any other applicable rules:

Rule 432.Q. (“General Offenses – to commit an act which is detrimental to the interest or welfare of the Exchange or to engage in any conduct which tends to impair the dignity or good name of the Exchange”)
Rule 432.S. (“General Offenses – to fail to comply with an order of the Board, Exchange staff or any hearing committee”).

In addition to the foregoing, pursuant to Rule 413 (“Summary Access Denial Actions”), 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.

Members are reminded that pursuant to Rule 501 (“Employees of Members”) they are responsible for ensuring that their employees comply with all Exchange rules and may, subject to a determination by an Exchange disciplinary committee, be liable for any fines imposed upon such employees by the Exchange. Additionally, a member’s failure to diligently supervise its employees and agents may result in charges for a violation of Rule 432.W. (“General Offenses – for any party to fail to diligently supervise its employees and agents in the conduct of their business relating to the Exchange”).

While the Video Trade Resolution System (VTRS) is not available in the new Eurodollar and SOFR options pit, Market Regulation may review surveillance video to assist with the resolution of an outtrade at the request of a member.

Questions regarding this Advisory Notice may be directed to:

Business Continuity Management at BCM@cmegroup.com; or

Market Regulation Rules & Regulatory Outreach at MarketReg.Outreach@cmegroup.com.

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