Regulatory Circular 20-015
CFE Regulatory Circular 20-002
Cboe SEF Notice to Participants 20-02

Date: **March 10, 2020**

Exchanges: **Cboe Options, C2 Options, Cboe BYX, Cboe BZX, Cboe EDGA, Cboe EDGX, CFE, and Cboe SEF**

Markets: **Equities, Options, Futures, and Foreign Exchange**

To: **Market Participants**

Re: **New Regulatory Complaints, Tips and Referrals Form**

New Regulatory Complaints, Tips and Referrals Form

The Cboe Regulatory Division, on behalf of Cboe BZX Exchange, Cboe BYX Exchange, Cboe EDGX Exchange, Cboe EDGA Exchange, Cboe Exchange, Cboe C2 Exchange, Cboe Futures Exchange, and Cboe SEF (collectively the "Exchanges") are issuing this Regulatory Circular to inform market participants that it has established a new on-line *U.S. Regulatory Complaints, Tips and Referrals Form*.

As background, the Cboe Regulatory Program includes surveillance, investigations, and/or examinations relating to compliance with Exchange Rules. The Program is conducted internally in conjunction with certain regulatory services conducted on behalf of the Exchanges by Financial Industry Regulatory Authority, Inc., National Futures Association and/or The Options Clearing Corporation, as applicable. The Cboe Regulatory Division encourages market participants to share complaints and tips directly with the Cboe Regulatory Staff, who will then review them and determine what further action may be necessary, such as further investigation, taking steps to address violative conduct, and/or recommending disciplinary action where rule violations are found. Market participants wishing to share information or report specific events involving suspicious trading behaviors or potentially violative activities on any of the Exchanges should complete the *U.S. Regulatory Complaints, Tips and Referrals Form*, which can be located via any of the following locations: Equities, Options, Futures, and FX.

Please note the following on-line forms are being decommissioned and replaced by the new *U.S. Regulatory Complaints, Tips and Referrals Form*, as of March 9, 2020:

- Cboe Community Policing Program Form
- Cboe Investor Complaint Form
- Cboe Member Comment Form
- Cboe Trading Permit Holder Comment Form
- Cboe Unusual Activity Report Form

Market participants may also submit comments to the Cboe Regulatory Division by calling one of the Regulatory Hotlines. To comment and provide your identity, call the Regulatory Hotline at 312.786.7261. To comment and remain anonymous, call the Anonymous Regulatory Hotline at 312.786.8600.

Please note the Cboe Regulatory Division will not share the details of its investigations or regulatory methodologies with complainants and it does not offer incentives of any kind in exchange for this information. The Cboe Regulatory Division staff will investigate or examine possible violations within the disciplinary jurisdiction of the Exchanges whenever the staff determines in its sole discretion there is a reasonable basis to do so.

Please also note that any questions that involve a time-sensitive matter requiring immediate response or action of an operational or non-interpretative nature should be directed to the Cboe Trade Desk at tradedesk@cboe.com / 913.815.7001, the CFE Trade Desk at cfetradedesk@cboe.com / 312.786.8700, or the Cboe SEF Trade Desk at SEFoperations@cboe.com / 212.209.1420.

Other Regulatory Contact Information

Please note other Regulatory contacts are available for non-complaint related inquiries, including but not necessarily limited to:

- **Regulatory Interpretations:**
  - For Cboe Options, C2 Options, BZX, BYX, EDGA, and EDGX questions: RegInterps@cboe.com / 312.786.8141
  - For CFE questions: CFERegInterps@cboe.com / 312.786.7229
  - For Cboe SEF questions: SEFRegInterps@cboe.com / 312.786.8775
- **Equities:**
  - Equity Surveillance: equitysurveillance@cboe.com
    As referenced in Regulatory Circular RC19-017 – *Regulatory Division Contacts for Market Maker ("MM") Quoting Issues and Late Withdrawals/Terminations*
- **Options:**
  - C1 Priority Review and CAT Report Card Hotline: optionhotline@cboe.com
    As referenced in Regulatory Circular RC20-002 – *Priority Review and Consolidated Options Audit Trail Report Card Option Hotline*
  - Options Surveillance: optionsurveillance@cboe.com
    As referenced in Regulatory Circular RC19-017/RG19-022 – *Regulatory Division Contacts for Market Maker ("MM") Quoting Issues and Late Withdrawals/Terminations*
- **Futures:**
  - OCR Reporting to CFE: CfeOcrReg@cboe.com
    As referenced in Regulatory Circular RG19-001 – *Ownership and Control Reporting and Large Trader Reporting*