

**Insert for List of RG's in Regulatory Bulletin:**

**Regulatory Circular RG02-08**

**From:**           **Legal Division**

**Re:**               **2001 Regulatory Circulars**

Regulatory Circular RG02-08 is a list of Regulatory Circulars issued by the CBOE in 2001. The list is enclosed with this issue of the *Regulatory Bulletin*.



**Date:** January 23, 2002

**Regulatory Circular RG02-08**

**To:** Membership

**From:** Legal Division

**Re:** 2001 Regulatory Circulars

Exchange policy provides that communications to Exchange members of a regulatory nature will be designated Regulatory Circulars, approved by the Legal Division, and published in the *Regulatory Bulletin*. For the convenience of the membership, the following is a list of Regulatory Circulars that were issued during 2001.

Any questions regarding a specific circular may be directed to the Exchange department or committee that issued the notice. *Regulatory Bulletins* from 1998 to the present are available on the Membership Site at <http://www.cboe.com>.

**2001 Regulatory Circulars**

<b><u>Regulatory Circular #</u></b>	<b><u>Subject</u></b>	<b><u>Issued By</u></b>	<b><u>Regulatory Bulletin Issue</u></b>
RG01-01	Semi-Annual Position and Exercise Limit Review	Market Regulation	1-19-01
RG01-02	Exercise on the Day Prior to Expiration for Position Limit Purposes (RG98-22 Reissued)	Market Regulation	1-19-01
RG01-03	Restrictions on Transactions in RSL Communication, Ltd.	Market Operations	1-19-01
RG01-04	Focus Report (Form X-17A-5)	Financial and Sales Practice Compliance	1-19-01
RG01-05	Inter-Exchange Procedures in Volatile Markets for First Quarter 2001 (RG00-150 Revised)	Market Operations	1-19-01
RG01-06	Orders to Execute Immediate on RAES or Cancel	Equity Floor Procedure Committee	2-2-01
RG01-07	Modified Bid/Ask Differentials	Market Performance Committee	2-2-01
RG01-08	Trans World Airlines Inc. (TWA)	Market Regulation	2-2-01
RG01-09	Options on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	2-2-01
RG01-10	Options on the NASDAQ 100 Index (NDX)	Index Market Performance Committee	2-2-01
RG01-11	Modified Bid/Ask Differentials on Long-Term Equity Option Series (LEAPS)	Index Market Performance Committee	2-2-01
RG01-12	Modified Bid/Ask Differentials on Long-Term Equity Option Series (LEAPS)	Market Performance Committee	2-2-01
RG01-13	2000 Regulatory Circulars	Legal	2-2-01
RG01-14	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options	Research and Planning	2-9-01
RG01-15	Application for Hardwiring Market-Maker Hand-Held Terminals	Facilities Committee	2-16-01
RG01-16	Expiration of Blanket Appointment in CBOE Mini-NDX ("MNX") Index Options	Index Market Performance Committee	2-8-01
RG01-17	Delisting Option Classes, Listing & Delisting Series of Options Classes (RG00-151 Reissued)	Allocation Committee	2-23-01
RG01-18	Product Delisting	Office of the Chairman	3-2-01

<b><u>Regulatory Circular #</u></b>	<b><u>Subject</u></b>	<b><u>Issued By</u></b>	<b><u>Regulatory Bulletin Issue</u></b>
RG01-19	Options on the Standard and Poor's 500 Index (SPX)	Market Performance Committee	3-2-01
RG01-20	Options on the Standard and Poors 100 Index (OEX)	Index Market Performance Committee	3-2-01
RG01-21	Options on the NASDAQ 100 Index (NDX)	Index Market Performance Committee	3-2-01
RG01-22	Long Term Index Option Series ("LEAPS") on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	3-2-01
RG01-23	Options on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	3-2-01
RG01-24	Modified Bid/Ask Differentials	Market Performance Committee	3-2-01
RG01-25	DPM Clerk Administrative and Operational Policies(RG00-66 Revised)	Department of Market Monitoring and Legal Division	3-2-01
RG01-26	Disciplinary Sanctions for Trading by or with Clerks (RG00-65 Reissued)	Regulatory/Legal Divisions	3-2-01
RG01-27	Application for Hardwiring Market-Maker Hand-Held Terminals (RG00-77 Reissued)	Facilities	3-2-01
RG01-28	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options (same as 01-14 except it includes OEF, QQQ) (Supplements RG01-14)	Research and Planning	3-16-01
RG01-29	Blanket Appointment Covering NASDAQ 100 Index Tracking Stock <sup>SM</sup> (QQQ) Index Options	Index Market Performance Committee	3-16-01
RG01-30	Option Trading Permit Lease Pool Procedures (RG00-137 Revised)	Membership	3-16-01
RG01-31	Routing of Orders of Accounts in Which Market-Makers Have an Interest	Equity Floor Procedure Committee	3-23-01
RG01-32	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options	Research and Planning	3-23-01
RG01-33	Long Term Index Option Series ("LEAPS") on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	3-30-01
RG01-34	Options on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	3-30-01
RG01-35	Options on the NASDAQ 100 Index (NDX)	Index Market Performance Committee	3-30-01
RG01-36	Options on the S&P 500 Index (SPX)	Index Market Performance Committee	3-30-01
RG01-37	Responsibilities and Obligations of Designated Primary Market-Makers (RG00-75 Reissued)	MTS Appointments Committee	3-30-01
RG01-38	Modified Bid/Ask Differentials	Market Performance Committee	3-30-01
RG01-39	Posting Process for Membership Applicants	Membership	4-6-01
RG01-40	March 30, 2001 Closing Rotations in Equity and Narrow-Based Index Options; Special closing Rotations in Certain Broad-Based Index Options (RG00-191 Revised)	Regulatory Services	4-13-01
RG01-41	SEC Approval of Prohibition Against Entering RAES Order Within 15 Seconds in the Same Option Class	Regulatory Services	4-13-01
RG01-42	Firm Quote Rule	Legal	4-13-01
RG01-43	Morning Trade Checking Schedule (RG99-190 Revised)	Trade Processing	4-20-01

<b><u>Regulatory Circular #</u></b>	<b><u>Subject</u></b>	<b><u>Issued By</u></b>	<b><u>Regulatory Bulletin Issue</u></b>
RG01-44	Inter-Exchange Procedures in Volatile Market for Second Quarter 2001(RG01-05 Revised)	Market Operations	4-20-01
RG01-45	Market-Maker Position Limit Exemptions(RG99-17 Reissued)	Market Regulation	4-20-01
RG01-46	Void		
RG01-47	Irrevocable Exercise and Short Sale Requirements(RG98-27 Reissued)	Regulatory Services	4-20-01
RG01-48	Restrictions on Transactions in ETOYS Inc.	Market Operations	4-20-01
RG01-49	Basic Market-Making Obligations	Regulatory Services	4-27-01
RG01-50	Dissemination of Quotes with Size for Equity Options	Equity Floor Procedure Committee	4-27-01
RG01-51	Overview of RAES 100-Spoke Functionality	Equity Floor Procedure Committee	4-27-01
RG01-52	Modified Bid/Ask Differentials	Market Performance Committee	5-4-01
RG01-53	Split Price for RAES Book Touches Market Rejected Orders	Equity Floor Procedure Committee	5-4-01
RG01-54	PSINet, Inc. (PSIX/SQP)	Market Regulation	5-4-01
RG01-55	California Amplifier (CAMP/UMP)	Market Regulation	5-4-01
RG01-56	Market-Maker Obligations (Supplements RG01-49)	Legal	5-4-01
RG01-57	Application for Hardwiring Market-Maker Hand-Held Terminals (RG00-77 Reissued)	Facilities	5-4-01
RG01-58	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options (RG01-14 Reissued)	Research and Planning	5-11-01
RG01-59	Joint Account Trading in OEX, SPX and DJX Indexes	Regulatory Services	5-18-01
RG01-60	Joint Account Participant Trading in Equity Options	Regulatory Services	5-18-01
RG01-61	Transactions Between Related Entities	Market Regulation	5-18-01
RG01-62	Restrictions on Transactions in Priceline.com Inc. (PUZ), Rite Aid Corp. (RAD)	Market Operations	5-18-01
RG01-63	Void		
RG01-64	Rite Aid Corp. (RAD)	Market Operations	5-18-01
RG01-65	Allocation Committee	Allocation Committee	5-25-01
RG01-66	Elimination of the 2.5% CME Price Limits	Market Operations	5-25-01
RG01-67	Inter-Exchange Procedures in Volatile Markets For Second Quarter 2001 (RG01-44 Revised)	Market Operations	5-25-01
RG01-68	Firm Quote Requirement Change for SPX	SPX Floor Procedure Committee	5-25-01
RG01-69	Product Delisting	Office of the Chairman	6-8-01
RG01-70	Options on the Standard & Poors 100 Index (OEX) (RG01-20 Revised)	Index Market Performance Committee	6-1-01
RG01-71	Modified Bid/Ask Differentials (RG01-52 Revised)	Market Performance Committee	6-1-01
RG01-72	Restrictions on Transactions in Friede Goldman Halter Inc. (FGH)	Market Operations	6-1-01
RG01-73	Dissemination of Book Market Indicators	Trading Operations	6-8-01
RG01-74	ADP Split Price Enhancement	Trading Operations	6-8-01
RG01-75	Market Share Initiatives	Market Performance Committee	6-15-01

<b>Regulatory Circular #</b>	<b>Subject</b>	<b>Issued By</b>	<b>Regulatory Bulletin Issue</b>
RG01-76	Monthly Fair Value Settlement of CME Stock Index Futures and Options (RG01-58 Reissued)	Research & Planning	6-15-01
RG01-77	Restrictions on Transactions in World Access, Inc. (WXQ)	Market Operations	6-15-01
RG01-78	Firm Quote Requirement Change for OEX, NDX, MNX, DJX, QQQ, RUT & QEF	Index Floor Procedure Committee	6-15-01
RG01-79	Definition of a Primary DPM Designee, Alternate DPM Designee, & Alternate DPM Designee with Supervision	Modified Trading System Appointments Committee	6-15-01
RG01-80	Application for Hardwiring Market-Maker Handheld Terminals	Facilities	6-15-01
RG01-81	Transactions in Priceline.com (Supplements RG01-62)	Market Operations	6-22-01
RG01-82	RAES Eligibility in OEX and DJX	Regulatory Services	6-22-01
RG01-83	RAES Eligibility in SPX	Regulatory Services	6-22-01
RG01-84	Gratuities Policy – Rule 4.4 (RG00-90 Reissued)	Office of the Secretary	6-29-01
RG01-85	Rebalance of GSTI Composite Index	Research	6-29-01
RG01-86	CXL Fee – PAR Cancellation Fee	Office of the Chairman	6-29-01
RG01-87	Options on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	7-6-01
RG01-88	Long Term Index Option Series (“LEAPS”) on the CBOE Mini-NDX (MNX) Index	Index Market Performance Committee	7-6-01
RG01-89	Options on the NASDAQ 100 Index (NDX)	Index Market Performance Committee	6-7-01
RG01-90	Modified Bid/Ask Differentials	Market Performance Committee	6-7-01
RG01-91	Options on the S&P 500 Index (SPX)	Market Performance Committee	6-7-01
RG01-92	ABP Split-Price – Status and Clarification	Trading Operations	6-7-01
RG01-93	Trading Floor Dress Code	Floor Officials Committee	7-13-01
RG01-94	Professional Business Environment	Floor Officials Committee/Human Resources	7-13-01
RG01-95	Monthly “Fair Value” Settlement of CME Stock Index Futures and Options	Research & Planning	7-13-01
RG01-96	June 29, 2001, Closing Rotations in Equity and Narrow-Based Index Options	Regulatory Services	7-13-01
RG01-97	Restrictions on Transactions in Cytogen Corp.	Market Operations	7-13-01
RG01-98	Restrictions on Transactions in Metromedia Fiber Network, Inc.	Market Operations	7-13-01
RG01-99	Restrictions on Transactions At Home Corporation	Market Operations	7-13-01
RG01-101	Restrictions on Transactions in Globalstar Telecommunications Ltd. (WBC)	Market Operations	7-13-01
RG01-101	Membership Application and Other Membership Fees	Membership	7-13-01
RG01-102	Restrictions on Transactions in IntelliData Tech (IUB/INTD)	Market Operations	7-13-01
RG01-103	Restrictions on Transactions in Western Digital Corporation	Market Operations	7-20-01
RG01-104	Restrictions on Transactions in Convergent Communications, Inc.	Market Operations	7-20-01
RG01-105	Distribution of Trading Activity	Market Performance Committee	7-20-01
RG01-106	Semi-Annual Position and Exercise Limit Review	Market Regulation	7-20-01
RG01-107	Audit Trail Violations	Market Regulation	7-20-01

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RG01-108	Delisting Option Classes, Listing & Delisting Series of Options Classes	Allocation Committee	7-27-01
RG01-109	Inter-Exchange Procedures in Volatile Markets for Third Quarter 2001 (RG01-67 Revised)	Market Operations	7-27-01
RG01-110	ORS Cancellation Fee Replaces PAR Cancellation Fee	Office of the Chairman	7-27-01
RG01-111	Member Requests to List an Option Class	Stock Selection Committee	7-27-01
RG01-112	Product Delisting	Office of the Chairman	8-3-01
RG01-113	2001 Constitution and Rules/Regulatory Bulletin(RG00-120 Revised)	Office of the Secretary	7-27-01
RG01-114	Stock Buy-Ins (RG97-70 Revised)	Regulatory Services Division/Department of Market Monitoring	8-3-01
RG01-115	RAES Automatic Step-Up By Size	Trading Operations	8-3-01
RG01-116	RAES 100 Spoke Enhancements	Trading Operations	8-3-01
RG01-117	Modified Bid/Ask Differentials	Market Performance	8-3-01
RG01-118	Blanket Appointment Covering European-style S&P 100 (XEO) Index Options	Index Market Performance Committee	8-3-01
RG01-119	Nasdaq-100 Index Tracking Shares <sup>SM</sup> ("QQQ")	Capital Markets	8-3-01
RG01-120	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options	Research and Planning	8-10-01
RG01-121	Transactions in Priceline.com, Inc.	Market Operations	8-10-01
RG01-122	Options on the Standard & Poors 500 Index (SPX)	Market Performance Committee	8-10-01
RG01-123	European-style S&P 100 (XEO) Index Options and Long Term Index Option Series ("LEAPS")	Index Market Performance Committee	8-10-01
RG01-124	Options on the NASDAQ 100 Index (NDX)	Index Market Performance Committee	8-10-01
RG01-125	Options on the CBOE Mini-NDX (MNX) Index and Long Term index Option Series ("LEAPS")	Index Market Performance Committee	8-10-01
RG01-126	Prearranged Trading (RG00-91 Revised)	Regulatory Services	8-17-01
RG01-127	Booking of Orders from Mobile PAR	Trading Operations	8-31-01
RG01-128	Joint Account Trading in Certain Broad-Based Index Options and Options on Exchange-Traded Fund Shares (RG01-59 Revised)	Regulatory Services	8-24-01
RG01-129	Change in Equity FLEX Strike Prices	Market Operations	8-24-01
RG01-130	AremisSoft (AREM/UKM) Trading Halt	Market Operations	8-24-01
RG01-131	Modified Bid/Ask Differentials	Market Performance Committee	8-31-01
RG01-132	Unbusinesslike Conduct	Floor Officials Committee	8-31-01
RG01-133	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options	Research & Planning	9-7-01
RG01-134	Expiration of Blanket Appointment Covering Nasdaq-100 Index Tracking Stock <sup>SM</sup> (QQQ) Index Options	Index Market Performance Committee	8-31-01
RG01-135	Restrictions on Transactions in AremisSoft Corp. (UKM)	Market Operations	9-14-01
RG01-136	Extension on Regulatory Requests	Regulatory Services/Office of Enforcement	9-28-01
RG01-137	Electioneering (RG00-180 Revised)	Election Committee	9-28-01

<b><u>Regulatory Circular #</u></b>	<b><u>Subject</u></b>	<b><u>Issued By</u></b>	<b><u>Regulatory Bulletin Issue</u></b>
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RG01-139	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options	Research & Planning	10-5-01
RG01-140	Restrictions on Transactions in IntelliData Tech (IUB/INTD)	Market Operations	10-5-01
RG01-141	Void		
RG01-142	Option Trading Permit Lease Pool Procedures	Membership	10-5-01
RG01-143	Fire Drill	Floor Officials Committee	10-5-01
RG01-144	September 28, 2001, Closing Rotations in Equity and Narrow-Based Index Options	Regulatory Services	10-5-01
RG01-145	Restrictions on Transactions in New Metricom Inc. (MQM)	Market Operations	10-12-01
RG01-146	Inter-Exchange Procedures in Volatile Markets for Fourth Quarter 2001 (RG01-109 Revised)	Market Operations	10-19-01
RG01-147	Restrictions on Transactions in Exodus Communication, Inc. (EXF)	Market Operations	10-19-01
RG01-148	Delisting Option Classes	Allocation Committee	10-19-01
RG01-149	Product Delisting	Office of the Chairman	10-26-01
RG01-150	Participation Rights for Firms Crossing Orders in Broad-Based Index Options (RG00-123 Revised)	Regulatory Services	10-26-01
RG01-151	Spread Orders in Multiple Broad-Based Index Options Classes	Legal	11-2-01
RG01-152	Restrictions on Transactions in Polaroid Corp. (PRD)	Market Operations	10-26-01
RG01-153	Void		
RG01-154	Product Delisting (RG01-49 Revised)	Office of the Chairman	10-26-01
RG01-155	Trading Floor Conduct	Floor Officials Committee	11-2-01
RG01-156	2001 Annual Election Process	Office of the Secretary	11-9-01
RG01-157	Restrictions on Transactions in <a href="#">Excite@Home</a> (AHQ)	Market Operations	11-9-01
RG01-158	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options (RG01-139 Reissued)	Research & Planning	11-9-01
RG01-159	Standard & Poor's Depository Receipts (SPDRs) Trading Symbol	Capital Markets	11-30-01
RG01-160	DPM Representation of Customer Orders	Legal/Regulatory Services Divisions	12-7-01
RG01-161	RAES 100 Spoke Enhancements	Trading Operations	12-7-01
RG01-162	Exchange/Regulatory Bulletin Via E-Mail	Office of the Secretary	12-7-01
RG01-163	Gratuities Policy – Rule 4.4 (RG00-84 Revised)	Office of the Secretary	12-7-01
RG01-164	Campaign Materials (RG00-163 Reissued)	Office of the Secretary	12-7-01
RG01-165	Smoking Lounge	Floor Officials/Facilities Committees	12-14-01
RG01-166	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options (RG01-158 Revised)	Research & Planning	12-14-01
RG01-167	Restrictions on Transactions in XO Communications Inc. (QNF)	Market Operations	12-18-01
RG01-168	December 31, 2001, Closing Rotations in Equity and Narrow-Based Index Options	Regulatory Services	1-11-02
RG01-169	Monthly "Fair Value" Settlement of CME Stock Index Futures and Options and Year End Closing Rotation	Research and Planning	1-11-02