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Regulatory Circular RG10-35

To: Members and Member Organizations
From: Regulatory Services Division
Date: March 4, 2010
Re: COATS Compliance Contra- Reporting

The purpose of this circular is to inform members and member organizations that as of February 26, 2010, users are no longer required to request and wait for the FB Contra Trade Time Match Report. This report is now part of the COATS Summary Report. The login ID and password used to access the COATS Summary Report remain the same. The daily reports provide exception data for the most recent ten (10) business days. The month-to-date reports provide exception data for the full calendar month. It is strongly recommended that members and member organizations download and save their January 2010 Detail reports. Effective March 15, 2010, the Detail Report will be eliminated.

As a reminder, a customer order that is systematized after a contra party to that order has reported a trade indicates that the customer order was not systemized prior to representation as required by CBOE Rule 6.24.

For further information in relation to COATS requirements pertaining to Contra Party Matching refer to Regulatory Circular RG09-139 <http://www.cboe.org/publish/RegCir/RG09-139.pdf>.

Questions

Questions pertaining to the regulatory requirements or the content of the COATS Regulatory Reports can be directed to Regulatory Services at (312) 786-8460 or (312) 786-7730.

(Supersedes RG10-11)