



Regulatory Circular RG12-030

TO: All Exchange Trading Permit Holder Broker/Dealers

FROM: Department of Member Firm Regulation

DATE: February 22, 2012

SUBJECT: Year-End Anti-Money Laundering Filing
Year-End Focus Reports and Schedule I
Both Filings Due March 1, 2012

EXCHANGE CONTACTS: Regulatory Interpretations and Guidance team (312) 786-8141
RegInterps@cboe.com

IMPORTANT REMINDER

All Trading Permit Holders or TPH organizations that are broker-dealers are required to file (i) Anti-Money Laundering documents and (ii) an Annual FOCUS Report X-17A-5 Part IIA (CBOE) and Schedule I **if all** of the following conditions apply:

- You do **not** file monthly FOCUS reports
- Your Designated Examining Authority is the CBOE
- You were a registered broker-dealer as of 12/31/11

These filings must be submitted to the Department of Member Firm Regulation no later than March 1, 2012. Sample anti-money laundering forms are contained in Regulatory Circulars RG12-002 and RG12-003. FOCUS filings may be filed by either using the web-based Winjammer system or via hard copy.