



Regulatory Circular RG12-126

Date: September 17, 2012

From: Department of Market Regulation

To: CBSX Trading Permit Holders

Re: CBSX Record of Written Complaints

CBSX Record of Written Complaints

CBSX recently adopted Rule 53.7 – CBSX Record of Written Complaints. The new rule requires CBSX Trading Permit Holders (TPH) to keep and preserve written customer complaints and records of the actions taken by the TPH due to the complaint for at least five years. For the first two years, TPHs shall keep these files readily accessible for examination or spot checks. Upon request by CBOE Regulatory Staff, a TPH shall forward such records in a manner as prescribed by Exchange Staff.

A complaint includes any written statement of a customer or any person acting on behalf of a customer alleging a grievance involving the activities of a TPH or person under the control of the TPH in connection with either the solicitation or execution of any transaction conducted through the facilities of the CBSX.

Questions concerning this memo can be addressed to Stephanie Marrin, Department of Regulatory Services, at marrin@CBOE.com or 312-786-8801.