

## **CBOE Regulatory Circular RG13-034 C2 Regulatory Circular RG13-011**

**DATE:** February 27, 2013

**To:** CBOE, C2 and CBSX Trading Permit Holders  
**From:** Regulatory Services Division  
**RE:** SROs Publish Consolidated Audit Trail RFP and Announce Bidders Conference

### **SROs Publish Consolidated Audit Trail RFP and Announce Bidders Conference**

The national securities exchanges and FINRA (collectively the SROs) have published the request for proposal (RFP) related to the creation of a Consolidated Audit Trail (CAT) as required by SEC Rule 613. The document may be found here: <http://www.catnmsplan.com/process/>.

In addition to publishing the RFP, the SROs are announcing plans to host a Bidders Conference for parties intending to respond to the RFP.

Attendance at the event will be limited to representatives from firms that submit an Intent to Bid form. The form may be found in Appendix I of the RFP and must be completed and sent via email no later than 5:00 p.m. ET (4:00 CT) on March 5, 2013 to [CATRFP@deloitte.com](mailto:CATRFP@deloitte.com).

The Bidders Conference is an opportunity for bidders to discuss the RFP directly with the SROs and to ask questions about the RFP's requirements and the related selection process.

The event will be held on March 8, 2013 from 1:00 p.m. to 3:00 p.m. ET (12:00 p.m. – 2:00 p.m. CT) in New York, NY. Registration and event logistics will be distributed to bidding organizations.

Bidders are encouraged to send questions to the SROs in advance of the event. Please submit questions that you would like addressed to [CATRFP@deloitte.com](mailto:CATRFP@deloitte.com).

Non-bidders should note that future industry events are being planned to address other issues related to the CAT. Please watch the [CAT NMS Plan website](#) for announcements regarding these events.

\* \* \* \* \*

Any questions regarding this circular may be directed to the Regulatory Interpretations and Guidance team by telephone at (312) 786-8141 or by email at [RegInterps@cboe.com](mailto:RegInterps@cboe.com).