



EXECUTE SUCCESSSM

Regulatory Circular RG15-114

Date: August 12, 2015

To: Trading Permit Holders

From: Regulatory Division

RE: Web Based Surveillance Reports – Book Trade Through Surveillance Report

As of August 10, 2015, the Book Trade Through Surveillance Reports are available on the Web Based Surveillance Firm Reports page for use by effective CBOE Trading Permit Holders (“TPHs”). The report can be accessed via <https://www.cboe.org/wbs/scripts/login.aspx>. If the TPH requires a user ID to access the Web Based Surveillance Reports Website, please complete the Individual TPH site RSA Login Access Request Form (RSA Login Request Form) located at:

<https://www.cboe.org/publish/TPHForms/TPHSpecificSiteAccessFormApr2914.pdf>.

The form should be submitted to registration@cboe.com and must be signed by an authorized signatory of the TPH.

Reports are posted for trade dates January 2, 2015 through the present. A Book Trade Through Surveillance Report will only be posted if an exception has generated. Book Trade Through Surveillance Reports will only be available on the website for 180 trading days, e.g., January 2015 reports will only be available on the website through the end of August 2015. A Book Trade Through Report Key will be available on the Book Trade Through Surveillance Report landing page.

This CBOE Web Based Surveillance Reports Website is intended for use by effective CBOE TPHs only. The existence of an exception in this data or non-existence of an exception does not necessarily reflect a determination by CBOE that such a violation has occurred. However, exceptions contained in this data resulting from trading activity in contravention of CBOE Rules may result in regulatory or formal disciplinary action.

Additional Information:

Questions regarding reports listed in the Web Based Surveillance Reports Website may be directed to WBSHelp@cboe.com.

Questions regarding the submission of the RSA Login Request Form may be directed to the Registration Services Department at (312) 786-7449 or registration@cboe.com.

Questions regarding CBOE rules related to reports listed in the Web Based Surveillance Reports Website may be directed to the Regulatory Interpretations and Guidance team at reginterps@cboe.com or (312) 786-8141.