



Notice No.	19-03
Date:	September 9, 2019
Subject:	Annual Reminder: Maintenance of Eligible Contract Participant (ECP) Status

Pursuant to the SEF rules promulgated by the Commodity Futures Trading Commission¹ and the rules of Cboe SEF, LLC (Cboe SEF)², each Participant of Cboe SEF must be an Eligible Contract Participant (ECP), as such term is defined in [Section 1a\(18\)](#) of the Commodity Exchange Act.

This notice is being issued to remind each Cboe SEF Participant that it must continue to comply with all eligibility criteria established by Cboe SEF, including continuing to maintain its ECP status, on an ongoing basis.

- Pursuant to Cboe SEF Rule 307(2), each Cboe SEF Participant is required to promptly notify Cboe SEF of any changes to its eligibility criteria.
- Failure to maintain ECP status or other Cboe SEF eligibility criteria and/or failure to promptly notify Cboe SEF of changes to eligibility status will subject the Cboe SEF Participant to appropriate disciplinary action in accordance with Cboe SEF Rules.

Additional Information

Please contact the Membership Services Department at MembershipServices@cboe.com to notify Cboe SEF of any change to your eligibility criteria. If you have any questions, please contact the Regulatory Interpretations and Guidance team at SEFRegInterps@cboe.com or 312-786-8775.

¹ 17 CFR Part 37

² Cboe SEF Rules 302 and 307(1)(h)