



Notice No.	20-04
Date:	May 7, 2020
Subject:	U.S. Person Status of Cboe SEF Participants

Pursuant to the Swap Data Recordkeeping and Reporting Requirements promulgated by the Commodity Futures Trading Commission (CFTC)¹, the Minimum Primary Economic Terms Data reported to the Swaps Data Repository (SDR) must include an indication of whether each counterparty to a transaction is a U.S. Person within the meaning of relevant CFTC regulations.

Cboe SEF is requesting that each Participant supplement the representations made to Cboe SEF as part of its Participant Application by completing and executing the U.S. Person Supplement attached hereto and delivering it to Membership Services at membershipservices@cboe.com by no later than May 13, 2020.

Failure to promptly deliver the U.S. Person Supplement to Cboe SEF may subject the Cboe SEF Participant to appropriate disciplinary action in accordance with Cboe SEF Rules.

Additional Information

If you have any questions, please contact the Cboe SEF Trade Desk at SEFOperations@cboe.com, or the Regulatory Interpretations and Guidance team at SEFRegInterps@cboe.com or 312-786-8775.

¹ 17 CFR Part 45



Cboe SEF
Participant Application – US Person Supplement

Further to the Participant Application previously executed and delivered by the Participant to Cboe SEF, LLC, the Participant must submit the following statement via email to MembershipServices@cboe.com.

Participants are required to promptly update any information submitted in this US Person Supplement when and if it becomes inaccurate or incomplete after submission.

GENERAL INFORMATION
Name of Participant:
Legal Entity Identifier (LEI):
U.S. PERSON STATUS
Does the Participant fall under one of the categories provided in the CFTC’s <i>Interpretive Guidance and Policy Statement Regarding Compliance with Certain Swap Regulations</i> , 78. Fed. Reg. 45292 (July 26, 2013), as amended or supplemented from time to time?
<input type="checkbox"/> Yes <input type="checkbox"/> No

By executing this US Person Supplement, the undersigned hereby represents and warrants on behalf of the Participant that the statements contained herein are true, complete and accurate, and acknowledges its obligation to update any and all information contained herein.

Signature of Authorized Signatory

Date

Printed Name

Title