



**Regulatory Circular RC01-113**

**Date: 27 July 2001**

**To: Members**

**From Office of the Secretary**

**Re: 2001 Constitution and Rules (Paperback)  
*Regulatory Bulletin***

Exchange Rule 3.7(g) requires members to keep and maintain a current copy of the **Constitution and Rules** ("Rules") in a readily accessible place. The Exchange provides one complimentary paperback copy of the Rules to effective members on a regular basis, usually once per year. The 2001 paperback Rules, as amended through March 29, 2001, is now available. Effective members may obtain a copy from the Members Library on the 4<sup>th</sup> floor of the Exchange.

Amendments to the Rules and all Regulatory Circulars pertaining to Exchange rules and policies are published in the weekly *Regulatory Bulletin*, which the Exchange distributes with the *Exchange Bulletin*. Members are expected to keep and maintain the *Regulatory Bulletin* as a supplement to the Rules. The Exchange delivers one complimentary subscription to the bulletins (via U.S. Mail or e-mail) to all effective members.

**Members are encouraged to select e-mail delivery of the bulletins.** To select e-mail delivery, members must file an Informed Consent to E-Mail Notice with the Membership Department (attached). E-mail is a quick and efficient means of delivery and may reduce the Exchange's printing and mailing expenses. The Exchange also maintains the bulletins for a minimum of two years on the password protected Membership site at CBOE.com. To obtain access to the Internet Membership Site, contact the Membership Department at 312-786-7449.

**Member organizations that are approved to do business with the public pursuant to Rule 9.1 are required to make the Rules available for examination by customers.** The Exchange encourages such organizations to keep and maintain the Rules, together with the *Regulatory Bulletin*, in each branch office. If the Rules and *Regulatory Bulletin* are not maintained in each branch office, a resource person in the firm must be designated to maintain and disseminate the Rules and *Regulatory Bulletin* information to firm personnel and, upon request, to public customers.

Additional copies of the paperback Rules may be purchased at the CBOE gift counter on the 4<sup>th</sup> floor of the Exchange or through the on-line Bookstore at <http://www.invest-store.com/cboe/books.html>. The loose-leaf version of the Rules ("CBOE Guide"), which is updated on a monthly basis, may be ordered from CCH Incorporated at 800-449-6435. Compliance International, Inc. offers subscriptions to the Rules and *Regulatory Bulletin* in electronic format. Contact Compliance International, Inc. at 973-808-0955 or <http://www.complianceintl.com>.

The annual fee for an additional subscription to the *Exchange Bulletin/Regulatory Bulletin* is \$200 for physical delivery and \$100 for e-mail delivery. For additional subscriptions, email [bulletin-subscriptions@cboe.com](mailto:bulletin-subscriptions@cboe.com) or send your name, address, telephone number, e-mail address and a check payable to the CBOE to Bulletin Subscriptions, CBOE, 400 South LaSalle Street, Chicago, IL 60605.

If you have any questions, contact Nancy Nielsen, Office of the Secretary, at 312-786-7466 or [nielsenn@cboe.com](mailto:nielsenn@cboe.com).

Attachment

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Membership Department  
400 South LaSalle Street  
Chicago, IL 60605-1023

Phone 312-786-5600  
Fax 312-786-8140

### Informed Consent to E-mail Notice

The **Constitution and Rules** of the Chicago Board Options Exchange, Incorporated ("Exchange" or "CBOE"), in certain specific instances, require the Exchange to provide notice to the membership. To satisfy this requirement, the Exchange publishes the weekly *Exchange Bulletin* and *Regulatory Bulletin* (jointly "bulletins").\* The Exchange provides a complimentary copy of each bulletin, via U.S. Mail or other means of delivery, to all effective members at the address maintained on the books and records of the Exchange pursuant to CBOE Rule 3.7(b).

The undersigned member hereby requests and consents to substitute transmission by electronic mail ("E-mail Notice") for physical delivery of the hardcopy bulletins. The undersigned member agrees that E-mail Notice constitutes full, valid and sufficient notice and service of all Exchange notifications included in the bulletins, pursuant to Section 10.2 of the Exchange's Constitution.

CBOE encourages the undersigned to retain the bulletins for future reference. As an additional resource for members, CBOE retains bulletins for a minimum of 2 years on the password protected CBOE Membership site at CBOE.com. To obtain access to the Membership site, contact the Membership Department at 312-786-7449.

The undersigned further agrees to file with the Membership Department and keep current an electronic mail address to which the E-mail Notice may be delivered and to hold the CBOE harmless from any and all liability incurred as a result of substituting receipt of E-mail Notice for physical delivery of the bulletins.

This consent will remain in effect until such time as the undersigned provides written notice to the Membership Department to resume physical delivery of the bulletins. This consent may be submitted by facsimile.

E-mail Address:

\_\_\_\_\_  
(Print Legibly)

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Acronym)

\_\_\_\_\_  
Member Organization, if applicable

\_\_\_\_\_  
(Sign)

If you receive the bulletins for more than one membership, please indicate the name of each membership for which you are electing E-mail Notice:

No. of Memberships: \_\_\_\_\_

\_\_\_\_\_  
Membership Name

\_\_\_\_\_  
Membership Name

\_\_\_\_\_  
Membership Name

Date: \_\_\_\_\_  
(07/01)

\* The rules under which notice is currently published in the bulletins include: Constitution Section 12.2 and Rules 3.9, 3.11, 3.13, 3.14, 3.16, 3.27, 8.89, 17.9.