



400 South LaSalle Street
Chicago, Illinois 60605-1023
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Regulatory Circular RG11-030

TO: All Exchange Trading Permit Holder Broker/Dealers

FROM: Department of Member Firm Regulation

DATE: February 17, 2011

SUBJECT: Year-End Anti-Money Laundering Filing
Year-End Focus Reports and Schedule I
Both Filings Due March 1, 2011

EXCHANGE CONTACTS:

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IMPORTANT REMINDER

All Trading Permit Holders or TPH organizations that are broker-dealers are required to file (i) Anti-Money Laundering documents and (ii) an Annual FOCUS Report X-17A-5 Part IIA (CBOE) and Schedule I **if all** of the following conditions apply:

- You do **not** file monthly FOCUS reports
- Your Designated Examining Authority is the CBOE
- You were a registered broker-dealer as of 12/31/10

These filings must be submitted to the Department of Member Firm Regulation no later than March 1, 2011. Sample anti-money laundering forms are contained in Regulatory Circulars [RG11-009](#) and [RG11-010](#).

FOCUS filings may be filed by either using the web-based Winjammer system or via hard copy. Contact Mike LaGioia or Don Sitarz for details on the web-based system or for paper forms.