

**Regulatory Circular RG95-62**

**To: All Exchange Members and Personnel**

**From: Legal Department**

**Re: Access to the Trading Floor**

**Date: July 18, 1995**

This circular is intended to summarize the Exchange's rules and policies concerning access to the Exchange's trading floor.

Pursuant to Exchange Rule 6.20, admission to the trading floor is limited to Exchange members, employees of the Exchange, clerks and floor managers employed by Exchange members and registered with the Exchange, and such other persons as may be provided by resolution of the Exchange's Board of Directors.

Absent exemption from the Office of the Chairman, the following policies apply with respect to visitors to the trading floor:

Each visitor must be signed in at the 4th floor reception desk.

A visitor may only be signed in by an Exchange member, a floor manager, or a senior Exchange staff member. Member firm employees and unauthorized Exchange staff are not permitted to sign in a visitor or to grant a visitor access to Exchange facilities.

For safety reasons, no child under 12 years of age shall be permitted access to the trading floor.

Each visitor shall be issued a visitor's pass by the 4th floor receptionist. Each visitor's pass shall be time stamped upon issuance and must be returned to the 4th floor reception desk.

During the entire time period that a visitor is present on the trading floor, the visitor must wear in a visible place the visitor's pass that is issued to the visitor.

Each visitor must be escorted and supervised by the person who signed the visitor in at all times while the visitor is present on the trading floor. A visitor may have escorted and supervised access to any part of the Exchange's facilities that the person who signed the visitor in is permitted access.

Each visitor must abide by the Exchange's rules of conduct and the Exchange's dress code policies which are set forth in Exchange Regulatory Circulars RG95-38 and RG95-63.

Each visitor is allowed 2 hours on the trading floor from the time that is time stamped on his or her visitor's pass and is allowed no more than 5 visits to the trading floor per month.

The Board has determined that any person who has been barred or suspended from Exchange membership and/or from association with Exchange members shall be prohibited from having access to the trading floor during the period of his or her bar or suspension. This policy is applicable regardless of the length of a bar or suspension and prohibits a barred or suspended person from being signed in as a visitor to the trading floor. However, the Office of the Chairman shall be permitted to grant exemptions to this policy upon the written request of a barred or suspended person.

Any member or employee of a member who violates any of the foregoing rules or policies may be subject to disciplinary action. In addition, a person who signs a visitor in may be subject to disciplinary action in the event that the visitor violates any Exchange rules or policies.

Any questions regarding this circular may be directed to Andrew Spiwak, Legal Department, at (312) 786-7483 or to the Office of Trading Floor Liaison at (312) 786-7847.

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