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Regulatory Circular RG09-17

**TO:** All Exchange Member Broker/Dealers

**FROM:** Department of Member Firm Regulation

**DATE:** February 11, 2009

**SUBJECT:** Year-End Anti-Money Laundering Filing  
Year-End Focus Reports  
Both Due March 2, 2009

**EXCHANGE CONTACTS:** FOCUS: Mike LaGioia (312) 786-7728, Don Sitarz (312) 786-7714  
AML: Tyson Wilson (312) 786-7011, Dan Sieracki 786-7167

### IMPORTANT REMINDER

All member Broker-Dealers who meet all of the following conditions:

- You were a CBOE member and registered broker/dealer as of 12/31/08
- Your Designated Examining Authority is the CBOE
- You do not file monthly FOCUS reports

are required to file:

- Anti-Money Laundering documents **AND**
- [Annual FOCUS Report X-17A-5 Part IIA \(CBOE\) and Schedule I](#)

with the Department of Member Firm Regulation, no later than March 2, 2009. Sample anti-money laundering forms are contained in Regulatory Circulars [RG09-001](#) and [RG09-003](#).

FOCUS software may be obtained at [www.wjammer.com](http://www.wjammer.com). Winjammer pin request forms are available for [sole proprietors](#) and [firms](#).