



Regulatory Circular RG11-124

To: Trading Permit Holders

From: Regulatory Services Division

Date: October 28, 2011

Re: Deadline to Comply with Registration and Qualification Requirements

As a reminder, the deadline to comply with the expanded registration and qualification requirements pursuant to Exchange Rule 3.6A is October 29, 2011. Failure to properly register and qualify by October 29, 2011 may subject a Trading Permit Holder, TPH organization and/or individual associated person to disciplinary action as provided in Chapter 17 of the CBOE Rules.

The new registration/qualification requirements for individual Trading Permit Holders and individual associated persons include the following registration categories: (i) PT - Proprietary Trader Registration (Series 56); (ii) CT - Proprietary Trader Compliance Officer Registration (Series 56, Series 14); and (iii) TP - Proprietary Trader Principal Registration (Series 56, Series 24).

For additional information, please see CBOE Rule 3.6A and/or the following:

- Expansion of registration and qualification requirements under Rule 3.6A: <http://www.sec.gov/rules/sro/cboe/2010/34-63314.pdf>;
- Adoption of additional exemption and acceptable substitute qualification examinations: <http://www.sec.gov/rules/sro/cboe/2011/34-65147.pdf>;
- Extension of compliance deadline to October 29, 2011: <http://www.sec.gov/rules/sro/cboe/2011/34-65224.pdf>;
- Extension of compliance deadline to September 19, 2011: <http://www.sec.gov/rules/sro/cboe/2011/34-64946.pdf>; and
- Series 56 Content Outline: <http://www.sec.gov/rules/sro/cboe/2011/34-64699.pdf>.

Additional information may also be found in the following Regulatory Circulars [RG10-120](#), [RG11-100](#), [RG11-095](#), [RG11-088](#) and [RG11-077](#).

Questions regarding this Regulatory Circular may be directed to the Regulatory Division's Regulatory Interpretations and Guidance team either **by telephone at (312) 786-8141** or **by e-mail at RegInterps@cboe.com**.