SUBMISSION COVER SHEET

***IMPORTANT*: Check box if Confidential Treatment is requested** ☐

Registered Entity Identifier Code (optional): 26-470 (3 of 5)

Organization: The Board of Trade of the City of Chicago, Inc. (“CBOT”)

Filing as a: ☒ **DCM** ☐ **SEF** ☐ **DCO** ☐ **SDR**

Please note - only ONE choice allowed.

Filing Date: 09/21/26 Filing Description: Amendments to CME, CBOT, NYMEX/COMEX Rule 442. (“Notification of Significant Events”)

SPECIFY FILING TYPE

Please note only ONE choice allowed per Submission.

Organization Rules and Rule Amendments

☒	Certification	§ 40.6(a)
☐	Approval	§ 40.5(a)
☐	Notification	§ 40.6(d)
☐	Advance Notice of SIDCO Rule Change	§ 40.10(a)
☐	SIDCO Emergency Rule Change	§ 40.10(h)

Rule Numbers: 442.

New Product **Please note only ONE product per Submission.**

☐	Certification	§ 40.2(a)
☐	Certification Security Futures	§ 41.23(a)
☐	Certification Swap Class	§ 40.2(d)
☐	Approval	§ 40.3(a)
☐	Approval Security Futures	§ 41.23(b)
☐	Novel Derivative Product Notification	§ 40.12(a)
☐	Swap Submission	§ 39.5

Official Product Name:

Product Terms and Conditions (product related Rules and Rule Amendments)

☐	Certification	§ 40.6(a)
☐	Certification Made Available to Trade Determination	§ 40.6(a)
☐	Certification Security Futures	§ 41.24(a)
☐	Delisting (No Open Interest)	§ 40.6(a)
☐	Approval	§ 40.5(a)
☐	Approval Made Available to Trade Determination	§ 40.5(a)
☐	Approval Security Futures	§ 41.24(c)
☐	Approval Amendments to enumerated agricultural products	§ 40.4(a), § 40.5(a)
☐	“Non-Material Agricultural Rule Change”	§ 40.4(b)(5)
☐	Notification	§ 40.6(d)

Official Name(s) of Product(s) Affected:

Rule Numbers:

Maureen Guilfoile
Managing Director and Chief Regulatory Counsel
Legal Department

September 21, 2026

VIA ELECTRONIC PORTAL

Mr. Christopher J. Kirkpatrick
Office of the Secretariat
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, N.W.
Washington, DC 20581

Re: CFTC Regulation 40.6(a) Certification. Amendments to CME, CBOT, NYMEX/COMEX Rule 442. ("Notification of Significant Events").
CBOT Submission No. 26-470 (3 of 5)

Dear Mr. Kirkpatrick:

Pursuant to Commodity Futures Trading Commission ("CFTC" or "Commission") Regulation 40.6(a), Chicago Mercantile Exchange Inc., in its capacities as both a derivatives clearing organization ("DCO") ("Clearing House") and designated contract market ("DCM" ("CME"), The Board of Trade of the City of Chicago, Inc. ("CBOT"), New York Mercantile Exchange, Inc. ("NYMEX"), and Commodity Exchange, Inc. ("COMEX"), each in their capacities as a DCM (each an "Exchange" and collectively, the "Exchanges"), hereby certify to the Commission amendments to Rule 442. ("Notification of Significant Events") (collectively, the "Rule Amendments"), effective on October 6, 2026.

Rule 442. mandates that Members immediately notify the Market Regulation Department (and the Clearing House, if applicable) of specific events that threaten their operational, financial, or legal standing. These triggers generally include:

1. any trading privilege restriction, suspension, expulsion, or fine over $25,000 resulting from a settlement or adverse finding by any court, regulator, exchange, clearing house, or self-regulatory organization;
2. any indictment, conviction, or guilty/no-contest plea by the Member or its officers for any felony, or for any misdemeanor involving fraud, moral turpitude, or financial instrument trading; and/or
3. any bankruptcy, insolvency, or receivership filing involving the Member.

Upon routine review of recent, high-profile enforcement actions against Clearing Member firms, it was identified that the Exchanges may not receive formal disclosure of failures relating to sanctions issued by sanctioning bodies that may not be considered a court or regulator subject to disclosure under Rule 442.1. until such a non-regulator sanctioning body publicly announces a final settlement or fine.

Therefore, the Exchanges are amending Rule 442. to adopt new section 4. which will require Members to provide immediate notification of any enforcement action, monetary penalty, or finding of violation by any U.S. or non-U.S. government body authorized to enforce economic sanctions and blocking measures or anti-money laundering / countering the financing of terrorism requirements. The Rule Amendments will further clarify that such bodies could include, but are not limited to, the Office of Foreign Assets Control, the Financial Crimes Enforcement Network, the New York Department of Financial Services or the Office of Financial Sanctions Implementation.

Additionally, the Rule Amendments direct Members to use the Firm Regulatory Portal (an existing portal that Members use to provide information to Market Regulation) to fulfill their notification responsibilities pursuant to this Rule.

Exhibit A below provides amendments to Rule 442. In blackline format.

The Clearing House and the Exchanges reviewed the DCO core principles and the DCM core principles (collectively, the "Core Principles"), as set forth in the Commodity Exchange Act ("CEA" or "Act") and identified that the Rule Amendments may have some bearing on the following Core Principles:

DCO Core Principles

> DCO Core Principle C – Participant and Membership Requirements: The Rule Amendments require notifications in circumstance to support rules for ongoing participant monitoring and notification as required by this Core Principle.
>
> DCO Core Principle L - Public Information: The Rule Amendments will be posted publicly on the CME Group website in satisfaction of this Core Principle. In addition, a Special Executive Report will be posted publicly on the CME Group website and emailed to subscribers.

DCM Core Principles

> DCM Core Principle 2 – Compliance with Rules: The Rule Amendments support the DCM in establishing rules that authority to monitor, access, and require information from participants to ensure compliance with trade practice rules.
>
> DCM Core Principle 7 – Availability of General Information: The Rule Amendments will be posted publicly on the CME Group website in satisfaction of this Core Principle. In addition, a Special Executive Report will be posted publicly on the CME Group website and emailed to subscribers.

There were no substantive opposing views to this proposal.

Pursuant to Section 5c(c) of the Act and CFTC Regulation 40.6(a), the Clearing House and the Exchanges certify that the Rule Amendments comply with the Act and regulations thereunder.

The Clearing House and the Exchanges certify that this submission has been concurrently posted on the Exchanges' website at http://www.cmegroup.com/market-regulation/rule-filings.html.

If you require any additional information regarding this submission, please contact the undersigned at 312.466.7478 or via email at CMEGSubmissionInquiry@cmegroup.com.

Sincerely,

/s/ Maureen Guilfoile
Managing Director and Chief Regulatory Counsel

Attachment: Exhibit A Amendments to CME, CBOT, NYMEX/COMEX Rule 442. ("Notification of Significant Events") (blackline format)

20 S Wacker Dr Chicago, IL 60606 **T** 312 930 8141 maureen.guilfoile@cmegroup.com cmegroup.com

<u>EXHIBIT A</u>

CME, CBOT, NYMEX/COMEX Rulebooks
Chapter 4
("Enforcement of Rules")
(additions <u>underscored</u>; deletions ~~struck through~~)

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442. NOTIFICATION OF SIGNIFICANT EVENTS

Each Member shall provide immediate notice to the Market Regulation Department (and each Member that is a Member Firm or a Clearing Member shall also provide immediate notice to the Clearing House), ~~in writing~~ <u>via the Firm Regulatory Portal</u> upon becoming aware of any of the following events relating to such Member:

1. any suspension, expulsion, revocation or restriction of such Member's trading privileges or any fine in excess of $25,000, through an adverse determination, voluntary settlement or otherwise, by any court, commodity or securities exchange or related clearing organization, the Securities and Exchange Commission, the Commodity Futures Trading Commission or the securities commission or equivalent authority of any state, territory, the District of Columbia or foreign country, the National Futures Association, the Financial Industry Regulatory Authority, Inc. or any self-regulatory or regulatory organization;
2. any indictment of the Member or any of its officers for, any conviction of the Member or any of its officers of, or any confession of guilt or plea of guilty or nolo contendere by the Member or any of its officers to 1) any felony or 2) any misdemeanor involving, arising from, or related to the purchase or sale of any commodity, security, futures contract, option or other financial instrument or involving or arising from fraud or moral turpitude; ~~and/or~~
3. any filing of a bankruptcy petition or insolvency, receivership or equivalent proceeding of which the Member is a subject. In the case of a voluntary bankruptcy, insolvency, receivership or equivalent proceeding, the Member also shall notify the Market Regulation Department, (and the Clearing House in the case of a Member that is a Member Firm or Clearing Member) when such Member forms a definite intention to file such proceeding; <u>and/or</u>
4. <u>any enforcement action, monetary penalty, or finding of violation by any US or non-US government body authorized to enforce economic sanctions and blocking measures or AML/CFT (anti-money laundering / countering the financing of terrorism) requirements. Such bodies could include, but are not limited to, the Office of Foreign Assets Control, the Financial Crimes Enforcement Network, the New York Department of Financial Services or the Office of Financial Sanctions Implementation.</u>

Nothing in this Rule shall limit or negate any other reporting obligations that any member may have to the Exchange or any other regulator or Person.

[End of Rule.]