

SUBMISSION COVER SHEET

IMPORTANT: Check box if Confidential Treatment is requested

Registered Entity Identifier Code (optional): 23-093

Organization: Chicago Mercantile Exchange Inc. ("CME")

Filing as a: DCM SEF DCO SDR

Please note - only ONE choice allowed.

Filing Date (mm/dd/yy): 02/08/23 Filing Description: Weekly Notification of Amendments Related to Product Terms and Conditions - Week of January 30, 2023

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:

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

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: See filing.

Rule Numbers: See filing.



Christopher Bowen
Managing Director and Chief Regulatory Counsel
Legal Department

February 8, 2023

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(d) Notification. Chicago Mercantile Exchange Inc. (“CME” or “Exchange”) Weekly Notification of Amendments Related to Product Terms and Conditions.
CME Submission No. 23-093**

Dear Mr. Kirkpatrick:

Pursuant to Commodity Futures Trading Commission (“CFTC” or “Commission”) Regulation 40.6(d), the Exchange submits this weekly notification of the following amendments related to product terms and conditions made effective during the week of January 30, 2023.

On February 1, 2023, the Exchange amended certain transaction fees. The marketplace was alerted of the changes via Special Executive Report (“SER”) 9098, which is attached hereto as Exhibit A.

Should you have any questions concerning the above, please contact the undersigned at (212) 299-2200 or via e-mail at CMEGSubmissionInquiry@cmegroup.com.

Sincerely,

/s/ Christopher Bowen
Managing Director and Chief Regulatory Counsel

Attachment: Exhibit A – SER 9098

Exhibit A



Special Executive Report

DATE: November 29, 2022
SER#: 9098
SUBJECT: **CME/CBOT/NYMEX/COMEX Exchange Transaction Fee Amendments
Effective February 1, 2023**

Effective February 1, 2023, Chicago Mercantile Exchange Inc. ("CME"), The Board of Trade of the City of Chicago, Inc. ("CBOT"), New York Mercantile Exchange, Inc. ("NYMEX"), and Commodity Exchange, Inc. ("COMEX") will amend transaction fees as more specifically described in the tables below.

- Volume Discounts on Transaction fees for **CME FX FUTURES** will be adjusted as follows:

| | | CURRENT | NEW |
|-----------------------------------|--|-----------------------|-----------------------|
| Member Firms & Individual Members | FX Futures & E-mini FX Futures | | |
| Eligible Participants | Average Daily Volume Threshold (Sides) | Exchange Fee Discount | Exchange Fee Discount |
| Individual Members | 0 - 6,500 | none | none |
| Clearing Members | 6,501 - 15,000 | \$0.15 | \$0.14 |
| Rule 106.J Equity Member Firms | | | |
| Rule 106.I Members | > 15,000 | \$0.19 | \$0.18 |

- Transaction Fees for **CME AGRICULTURAL FUTURES** GLOBEX TAS and Block TAS (Trade-At-Settlement) Trades will now have a differentiated rate, and transaction fees for **CME AGRICULTURAL FUTURES & OPTIONS** will be adjusted as follows:

| Fees are charged per side (both buy and sell side) per contract | Venue/Transaction Type | CURRENT | Venue/Transaction Type | NEW |
|--|--------------------------|-----------------------------|--------------------------|-------------------|
| | | Agricultural | | Agricultural |
| | | Futures & Options | | Futures & Options |
| Individual Members Clearing Equity Member Firms Rule 106.J Equity Member Firms & Rule 106.J Qualified Subsidiaries Rule 106.I Member Firms & Rule 106.I Qualified Affiliates Rule 106.S Member Approved Funds | Delivery | \$0.15 | Delivery | \$0.15 |
| | Globex | \$0.51 | Globex | \$0.51 |
| | | | Globex TAS | \$0.61 |
| | EFP EFR Block | \$1.90 | EFP EFR Block | \$1.90 |
| | | | Block TAS | \$2.00 |
| Exercise Assign Future From | \$0.20 | Exercise Assign Future From | \$0.20 | |
| Rule 106.D Lessees Rule 106.F Employees | Delivery | \$0.31 | Delivery | \$0.31 |
| | Globex | \$0.67 | Globex | \$0.67 |
| | | | Globex TAS | \$0.77 |
| | EFP EFR Block | \$2.06 | EFP EFR Block | \$2.06 |
| | | | Block TAS | \$2.16 |
| Exercise Assign Future From | \$0.36 | Exercise Assign Future From | \$0.36 | |
| Rule 106.R Electronic Corporate Member <i>(For other than Globex - See Non-Members)</i> | Globex | \$0.81 | Globex | \$0.81 |
| Globex TAS | | | \$0.91 | |
| Rule 106.H and 106.N Firms Clearing Non-Equity Member Firms | Delivery | \$0.49 | Delivery | \$0.49 |
| | Globex | \$0.81 | Globex | \$0.81 |
| | | | Globex TAS | \$0.91 |
| | EFP EFR Block | \$2.24 | EFP EFR Block | \$2.24 |
| | | | Block TAS | \$2.34 |
| Exercise Assign Future From | \$0.54 | Exercise Assign Future From | \$0.54 | |
| International Incentive Program (IIP) Participants International Volume Incentive Program (IVIP) Participants <i>(For other than Globex - See Non-Members)</i> | Globex | \$0.82 | Globex | \$0.89 |
| Members Trading Outside of Division <i>(For other than Globex During ETH - See Non-Members)</i> | Globex - During ETH Only | \$1.05 | Globex - During ETH Only | \$1.12 |
| Non-Members <i>(Including: Central Bank Incentive Program (CBIP) Participants, Latin American Fund Manager Incentive Program (FMIP) Participants, CTA/Hedge Fund Incentive Program Participants & CBOE Members)</i> | Delivery | \$0.69 | Delivery | \$0.69 |
| | Globex | \$2.03 | Globex | \$2.10 |
| | | | Globex TAS | \$2.20 |
| | EFP | \$2.44 | EFP | \$2.44 |
| | EFR Block | \$3.03 | EFR Block | \$3.03 |
| | | | Block TAS | \$3.13 |
| Exercise Assign Future From | \$0.74 | Exercise Assign Future From | \$0.74 | |

- Transaction Fees for **CBOT AGRICULTURAL FUTURES GLOBEX TAS** and **Block TAS** (Trade-At-Settlement) Trades will now have a differentiated rate, and transaction fees for **CBOT AGRICULTURAL FUTURES & OPTIONS** will be adjusted as follows:

| Type | Account Owner | Trading Rights of Individual Executing Trade | Venue/ Transaction Type | CURRENT | | NEW | | | |
|--|---|--|--------------------------------|------------------------|------------------------|-------------------------|------------------------|------------|--------|
| | | | | Agricultural Fut & Opt | Agricultural Fut & Opt | Venue/ Transaction Type | Agricultural Fut & Opt | | |
| 1 | Individual Members | Member Account Owner | Globex | \$0.23 | Globex | \$0.23 | Globex TAS | \$0.33 | |
| | | | EFP | \$1.10 | EFP | \$1.10 | EFP | \$1.10 | |
| | | | EFR | \$1.40 | EFR | \$1.40 | EFR | \$1.40 | |
| | | | Block | \$1.20 | Block | \$1.20 | Block TAS | \$1.30 | |
| | Individual Delegates | Delegate Account Owner | Globex | \$0.35 | Globex | \$0.35 | Globex TAS | \$0.45 | |
| | | | EFP | \$1.25 | EFP | \$1.25 | EFP | \$1.25 | |
| | | | EFR | \$1.55 | EFR | \$1.55 | EFR | \$1.55 | |
| | | | Block | \$1.35 | Block | \$1.35 | Block TAS | \$1.45 | |
| EQUITY MEMBERS (Individual Equity Members, Clearing Equity Member Firms and Equity Member Firms) | | | | | | | | | |
| 2 | Rule 106.J Equity Member Firms Rule 106.I Affiliate Equity Member Firms Individual Equity Members (Other Member/Delegate executing trade) Clearing Equity Member Firms Rule 106.I Affiliate Membership Umbrella - Qualified Affiliate | Member or Delegate | Globex | \$0.23 | Globex | \$0.23 | Globex TAS | \$0.33 | |
| | | | EFP | \$1.10 | EFP | \$1.10 | EFP | \$1.10 | |
| | | | EFR | \$1.40 | EFR | \$1.40 | EFR | \$1.40 | |
| | | Non-Member | Block | \$1.20 | Block | \$1.20 | Block TAS | \$1.30 | |
| | | | Globex | \$0.51 | Globex | \$0.51 | Globex TAS | \$0.61 | |
| | | | EFP | \$1.10 | EFP | \$1.10 | EFP | \$1.10 | |
| | Rule 106.S. Family of Funds Equity Member Firms | Member, Delegate or Non-Member | EFR | \$1.40 | EFR | \$1.40 | EFR | \$1.40 | |
| | | | Block | \$1.20 | Block | \$1.20 | Block TAS | \$1.30 | |
| | | | Globex | \$0.51 | Globex | \$0.51 | Globex TAS | \$0.61 | |
| | TRADING MEMBERS (Individual Non-Equity Members, Clearing Non-Equity Member Firms and Non-Equity Member Firms) | | | | | | | | |
| | 3 | Individual Non-Equity Members (Other Member/Delegate executing trade) Clearing Non-Equity Member Firms Rule 106.H Member Firms Rule 106.I Affiliate Trading Member Firms (w/ an owned seat) | Member, Delegate or Non-Member | Globex | \$0.81 | Globex | \$0.81 | Globex TAS | \$0.91 |
| | | | | EFP | \$1.21 | EFP | \$1.21 | EFP | \$1.21 |
| EFR Block | | | EFR Block | \$1.81 | EFR Block | \$1.81 | Block TAS | \$1.91 | |
| | | | Block | \$1.81 | Block | \$1.81 | Block TAS | \$1.91 | |
| Individual Delegates (Other Member/Delegate executing trade) Rule 106.I Affiliate Trading Member Firms (w/ a leased seat) | | Member, Delegate or Non-Member | Globex | \$0.96 | Globex | \$0.96 | Globex TAS | \$1.06 | |
| | | | EFP | \$1.36 | EFP | \$1.36 | EFP | \$1.36 | |
| | | | EFR Block | \$1.96 | EFR Block | \$1.96 | Block TAS | \$2.06 | |
| Rule 106.S. Family of Funds Trading Member Firms | | Member, Delegate or Non-Member | Globex | \$0.81 | Globex | \$0.81 | Globex TAS | \$0.91 | |
| | | | EFP | \$1.21 | EFP | \$1.21 | EFP | \$1.21 | |
| | | | EFR Block | \$1.81 | EFR Block | \$1.81 | Block TAS | \$1.91 | |
| 4 Rule 106.R Electronic Corporate Member Firms (For other than Globex - See Non-Members) | | | | | | | | | |
| 4 | | Member, Delegate or Non-Member | Globex | \$0.96 | Globex | \$0.96 | Globex TAS | \$1.06 | |
| 5 International Incentive Program (IIP) International Volume Incentive Program (IVIP) (For other than Globex - See Non-Members) | | | | | | | | | |
| 5 | Member, Delegate or Non-Member | Globex | \$1.06 | Globex | \$1.06 | Globex | \$1.11 | | |
| | | | | Globex | \$1.67 | Globex | \$1.72 | | |
| | Non-Members | N/A | Globex | \$2.05 | Globex | \$2.10 | | | |
| | | | EFP | \$1.50 | EFP | \$1.50 | | | |
| 6 CMACE Permit Holders (For Rough Rice & Mini-Sized Products Only; For All Other Products - See Non-Members) | | | | | | | | | |
| 6 | Member, Delegate or Non-Member | Globex | \$0.41 | Globex | \$0.41 | Globex TAS | \$0.51 | | |
| | | | | EFP | \$1.25 | EFP | \$1.25 | | |
| | | | | EFR | \$1.55 | EFR | \$1.55 | | |
| | | | | Block | \$1.41 | Block | \$1.41 | | |
| | | | | Block TAS | \$1.51 | Block TAS | \$1.51 | | |

- Transaction fees for **CME EQUITY PRODUCTS** will be adjusted as follows:

| Fees are charged per side (both buy and sell side) per contract | Venue/Transaction Type | CURRENT | | | | NEW | | | |
|---|--------------------------|---------------------|---------|--------------------|---------|---------------------|---------|--------------------|---------|
| | | E-mini Equity Index | | Micro E-mini Index | | E-mini Equity Index | | Micro E-mini Index | |
| | | Futures | Options | Futures | Options | Futures | Options | Futures | Options |
| Individual Members Clearing Equity Member Firms Rule 106.J Equity Member Firms & Rule 106.J Qualified Subsidiaries Rule 106.I Member Firms & Rule 106.I Qualified Affiliates Rule 106.S Member Approved Funds | Delivery | \$0.09 | \$0.09 | \$0.01 | \$0.01 | \$0.09 | \$0.09 | \$0.01 | \$0.01 |
| | Globex | \$0.37 | \$0.35 | \$0.05 | \$0.04 | \$0.39 | \$0.36 | \$0.08 | \$0.04 |
| | EFP EFR BTIC TACO | \$1.84 | \$1.84 | \$0.19 | \$0.19 | \$1.84 | \$0.37 | \$0.19 | \$0.19 |
| | Block | | \$0.36 | | | | | | |
| | Covered Futures | \$0.38 | N/A | N/A | N/A | \$0.40 | N/A | N/A | N/A |
| Exercise Assign Future From | \$0.14 | \$0.14 | \$0.01 | \$0.01 | \$0.14 | \$0.14 | \$0.01 | \$0.01 | |
| Rule 106.D Lessees Rule 106.F Employees | Delivery | \$0.21 | \$0.21 | \$0.03 | \$0.03 | \$0.21 | \$0.21 | \$0.03 | \$0.03 |
| | Globex | \$0.49 | \$0.47 | \$0.08 | \$0.07 | \$0.51 | \$0.47 | \$0.11 | \$0.07 |
| | EFP EFR BTIC TACO | \$1.96 | \$1.96 | \$0.20 | \$0.20 | \$1.96 | \$0.48 | \$0.20 | \$0.20 |
| | Block | | \$0.48 | | | | | | |
| | Covered Futures | \$0.50 | N/A | N/A | N/A | \$0.52 | N/A | N/A | N/A |
| Exercise Assign Future From | \$0.26 | \$0.26 | \$0.03 | \$0.03 | \$0.26 | \$0.26 | \$0.03 | \$0.03 | |
| Rule 106.R Electronic Corporate Member (For other than Globex - See Non-Members) | Globex | \$0.52 | \$0.45 | \$0.09 | \$0.08 | \$0.54 | \$0.45 | \$0.12 | \$0.08 |
| | Globex - BTIC TACO | \$2.14 | N/A | N/A | N/A | \$2.20 | N/A | N/A | N/A |
| Rule 106.H and 106.N Firms Clearing Non-Equity Member Firms | Delivery | \$0.39 | \$0.39 | \$0.04 | \$0.04 | \$0.39 | \$0.39 | \$0.04 | \$0.04 |
| | Globex | \$0.62 | \$0.45 | \$0.10 | \$0.09 | \$0.64 | \$0.45 | \$0.13 | \$0.09 |
| | EFP EFR BTIC TACO | \$2.14 | \$2.14 | \$0.22 | \$0.22 | \$2.14 | \$0.46 | \$0.22 | \$0.22 |
| | Block | | \$0.46 | | | | | | |
| | Covered Futures | \$0.63 | N/A | N/A | N/A | \$0.65 | N/A | N/A | N/A |
| Exercise Assign Future From | \$0.44 | \$0.44 | \$0.04 | \$0.04 | \$0.44 | \$0.44 | \$0.04 | \$0.04 | |
| International Incentive Program (IIP) Participants International Volume Incentive Program (IVIP) Participants (For other than Globex - See Non-Members) | Globex | \$0.65 | \$0.50 | \$0.13 | \$0.10 | \$0.70 | \$0.50 | \$0.18 | \$0.10 |
| | Globex - BTIC TACO | \$2.15 | N/A | N/A | N/A | \$2.25 | N/A | N/A | N/A |
| Central Bank Incentive Program (CBIP) Participants Latin American Fund Manager Incentive Program (FMIP) Participants (For other than Globex and where N/A - See Non-Members) | Globex - Outrights | \$1.02 | \$0.50 | \$0.17 | \$0.14 | \$1.07 | \$0.50 | \$0.22 | \$0.14 |
| | Globex - Spreads | \$0.90 | | \$0.14 | \$0.11 | \$1.00 | | | \$0.11 |
| | Globex - BTIC TACO | \$2.15 | N/A | N/A | N/A | \$2.25 | N/A | N/A | N/A |
| CBOE Members (For S&P Products Only; N/A For All Other Products - See Non-Members) | Delivery | \$0.35 | \$0.34 | \$0.04 | \$0.04 | \$0.35 | \$0.34 | \$0.04 | \$0.04 |
| | Globex - Outrights | \$1.23 | \$0.50 | \$0.29 | \$0.19 | \$1.28 | \$0.50 | \$0.34 | \$0.19 |
| | Globex - Spreads | \$0.85 | | \$0.23 | \$0.13 | \$0.95 | | | \$0.13 |
| | EFP EFR BTIC TACO | \$2.10 | \$2.09 | \$0.27 | \$0.22 | \$2.20 | \$0.51 | \$0.35 | \$0.22 |
| | Block | | \$0.51 | | | | | | |
| | Covered Futures | \$1.24 | N/A | N/A | N/A | \$1.30 | N/A | N/A | N/A |
| Exercise Assign Future From | \$0.40 | \$0.39 | \$0.04 | \$0.04 | \$0.40 | \$0.39 | \$0.04 | \$0.04 | |
| Members Trading Outside of Division (For other than Globex During ETH - See Non-Members) | Globex - During ETH Only | \$0.76 | \$0.54 | \$0.20 | \$0.10 | \$0.81 | \$0.54 | \$0.25 | \$0.10 |
| Non-Members (Including: CTA/Hedge Fund Incentive Program Participants) | Delivery | \$0.40 | \$0.39 | \$0.05 | \$0.05 | \$0.40 | \$0.39 | \$0.05 | \$0.05 |
| | Globex - Outrights | \$1.28 | \$0.55 | \$0.30 | \$0.20 | \$1.33 | \$0.55 | \$0.35 | \$0.20 |
| | Globex - Spreads | \$0.90 | | \$0.24 | \$0.14 | \$1.00 | | | \$0.14 |
| | EFP EFR BTIC TACO | \$2.15 | \$2.14 | \$0.29 | \$0.24 | \$2.25 | \$0.60 | \$0.36 | \$0.24 |
| | Block | | \$0.60 | | | | | | |
| | Covered Futures | \$1.29 | N/A | N/A | N/A | \$1.34 | N/A | N/A | N/A |
| Exercise Assign Future From | \$0.45 | \$0.44 | \$0.05 | | \$0.45 | \$0.44 | \$0.05 | | |

- Transaction fees for **CBOT EQUITY PRODUCTS** will be adjusted as follows, including the Dow Jones U.S. Real Estate Futures now following the same fee schedule as E-mini Dow Futures and Options:

| Type | Account Owner | Trading Rights of Individual Executing Trade | Venue/ Transaction Type | CURRENT | | NEW | | |
|--------------------|---|---|--------------------------------|-------------------|------------------|----------------------------------|-------------------|---------------------|
| | | | | E-mini Dow | Micro E-mini Dow | E-mini Dow & DJ U.S. Real Estate | Micro E-mini Dow | DJ U.S. Real Estate |
| | | | | Futures & Options | Futures | Futures & Options | Futures | Futures |
| 1 | Individual Members | Member Account Owner | Globex | \$0.13 | \$0.05 | \$0.15 | \$0.08 | \$0.13 |
| | | | EFP EFR Block/BTIC | \$1.84 | \$0.19 | \$1.90 | \$0.19 | \$1.60 |
| | Individual Delegates | Delegate Account Owner | Globex | \$0.28 | \$0.08 | \$0.30 | \$0.11 | \$0.28 |
| | | | EFP EFR Block/BTIC | \$1.90 | \$0.20 | \$1.96 | \$0.20 | \$1.70 |
| 2 | EQUITY MEMBERS (Individual Equity Members, Clearing Equity Member Firms and Equity Member Firms) | | | | | | | |
| | Rule 106.J Equity Member Firms Rule 106.I Affiliate Equity Member Firms Individual Equity Members (Other Member/Delegate executing the trade) Clearing Equity Member Firms Rule 106.I Affiliate Membership Umbrella - Qualified Affiliate | Member or Delegate | Globex | \$0.13 | \$0.05 | \$0.15 | \$0.08 | \$0.13 |
| | | | EFP EFR Block/BTIC | \$1.84 | \$0.19 | \$1.90 | \$0.19 | \$1.60 |
| | Rule 106.S. Family of Funds Equity Member Firms | Non-Member | Globex | \$0.28 | \$0.08 | \$0.30 | \$0.11 | \$0.28 |
| | | | EFP EFR Block/BTIC | \$1.90 | \$0.20 | \$1.96 | \$0.20 | \$1.70 |
| | Rule 106.S. Family of Funds Equity Member Firms | Member, Delegate or Non-Member | Globex | \$0.28 | \$0.07 | \$0.30 | \$0.10 | \$0.28 |
| EFP EFR Block/BTIC | | | \$1.90 | \$0.20 | \$1.96 | \$0.20 | \$1.70 | |
| 3 | TRADING MEMBERS (Individual Non-Equity Members, Clearing Non-Equity Member Firms and Non-Equity Member Firms) | | | | | | | |
| | Individual Non-Equity Members (Other Member/Delegate executing the trade) Clearing Non-Equity Member Firms Rule 106.H Member Firms | Member, Delegate or Non-Member | Globex | \$0.32 | \$0.10 | \$0.34 | \$0.13 | \$0.32 |
| | | | EFP EFR Block/BTIC | \$1.92 | \$0.21 | \$1.98 | \$0.21 | \$1.75 |
| | Individual Delegates (Other Member or Delegate executing the trade) Rule 106.I Affiliate Trading Member Firms (w/ a leased seat) | Member, Delegate or Non-Member | Globex | \$0.51 | \$0.10 | \$0.53 | \$0.13 | \$0.51 |
| | | | EFP EFR Block/BTIC | \$1.94 | \$0.21 | \$2.00 | \$0.21 | \$1.84 |
| | Rule 106.S. Family of Funds Trading Member Firms | Member, Delegate or Non-Member | Globex | \$0.32 | \$0.10 | \$0.34 | \$0.13 | \$0.32 |
| | | | EFP EFR Block/BTIC | \$1.92 | \$0.21 | \$1.98 | \$0.21 | \$1.75 |
| | 4 | Rule 106.R Electronic Corporate Member Firms (For other than Globex - See Non-Members) | Member, Delegate or Non-Member | Globex | \$0.32 | \$0.10 | \$0.34 | \$0.13 |
| Globex - BTIC | | | | \$1.94 | n/a | \$2.00 | n/a | \$1.84 |
| 5 | International Incentive Program (IIP) International Volume Incentive Program (IVIP) (For other than Globex - See Non-Members) | Member, Delegate or Non-Member | Globex | \$0.65 | \$0.13 | \$0.70 | \$0.18 | \$0.65 |
| | | | Globex - BTIC | \$2.15 | n/a | \$2.25 | n/a | \$2.05 |
| | Central Bank Incentive Program (CBIP) Latin American Fund Manager Incentive Program (FMIP) (For other than Globex - See Non-Members) | Member, Delegate or Non-Member | Globex | \$1.02 | \$0.17 | \$1.07 | \$0.22 | \$1.28 |
| | | | Globex - BTIC | \$2.15 | n/a | \$2.25 | n/a | \$2.05 |
| | Non-Members | N/A | Globex | \$1.28 | \$0.30 | \$1.33 | \$0.35 | \$1.28 |
| | | EFP EFR Block/BTIC | \$2.15 | \$0.29 | \$2.25 | \$0.36 | \$2.05 | |

- Non-trade transaction fees for **CBOT BLOOMBERG COMMODITY INDEX SWAPS** will no longer follow a separate schedule, but will instead incur the standard Exchange Fees for Non-Trades as follows:

| Exchange Fees for Non-Trades | | | | |
|------------------------------|---------------------------------|---------------|---------------|---------------|
| | | Member | Delegate | Non-Member |
| CURRENT | Bloomberg Commodity Index Swaps | \$0.50 | | |
| NEW | Cash Settlement/Delivery | \$0.10 | \$0.25 | \$0.55 |

- Transaction fees for **CBOT TREASURY FUTURES AND OPTIONS** will be adjusted as follows:

| Type | Account Owner | Trading Rights of Individual Executing Trade | Venue/ Transaction Type | CURRENT | | | | | | | NEW | | | | | | |
|------|--|--|----------------------------|------------------|--------|-----------------|-----------------|---------------|---------------------|----------------|------------------|--------|-----------------|-----------------|---------------|---------------------|----------------|
| | | | | Treasury Futures | | | | | Treasury Options | TBA Futures | Treasury Futures | | | | | Treasury Options | TBA Futures |
| | | | | 2YR 3YR | 5YR | 10YR Ultra | 20YR 30 YR | Ultra Bond | | | 2YR 3YR | 5YR | 10YR Ultra | 20YR 30 YR | Ultra Bond | | |
| 1 | Individual Members | Member Account Owner | Globex | \$0.12 | | \$0.13 | | | \$0.14 | \$0.16 | \$0.13 | | \$0.14 | | \$0.14 | \$0.16 | |
| | | | Globex TAS | | | \$0.16 | | | n/a | n/a | \$0.17 | | n/a | n/a | | | |
| | | | EFP EFR Block | \$0.87 | | \$0.88 | | | \$0.89 | \$0.45 | \$0.87 | | \$0.88 | | \$0.89 | \$0.45 | |
| | Individual Delegates | Delegate Account Owner | Globex | | | \$0.26 | | | \$0.27 | \$0.17 | \$0.27 | | \$0.27 | | \$0.27 | \$0.17 | |
| | | | Globex TAS | | | \$0.30 | | | n/a | n/a | \$0.31 | | n/a | n/a | | | |
| | | | EFP EFR Block | | | \$1.01 | | | \$1.02 | \$0.46 | \$1.01 | | \$1.02 | | \$1.02 | \$0.46 | |
| 2 | Rule 106.J Equity Member Firms Rule 106.I Affiliate Equity Member Firms Individual Equity Members (other Member/Delegate executing trade) Clearing Equity Member Firms Rule 106.I Affiliate Membership Umbrella - Qualified Affiliate | Member or Delegate | Globex | \$0.12 | | \$0.13 | | | \$0.14 | \$0.16 | \$0.13 | | \$0.14 | | \$0.14 | \$0.16 | |
| | | | Globex TAS | | | \$0.16 | | | n/a | n/a | \$0.17 | | n/a | n/a | | | |
| | | | EFP EFR Block | \$0.87 | | \$0.88 | | | \$0.89 | \$0.45 | \$0.87 | | \$0.88 | | \$0.89 | \$0.45 | |
| | | Non-Member | Globex | | | \$0.22 | | | \$0.23 | \$0.25 | \$0.24 | | \$0.24 | | \$0.23 | \$0.25 | |
| | | | Globex TAS | | | \$0.30 | | | n/a | n/a | \$0.32 | | n/a | n/a | | | |
| | | | EFP EFR Block | \$0.87 | | \$0.88 | | | \$0.89 | \$0.45 | \$0.87 | | \$0.88 | | \$0.89 | \$0.45 | |
| | Rule 106.S Family of Funds Equity Member Firms | Member, Delegate or Non-Member | Globex | | | \$0.22 | | | \$0.23 | \$0.25 | \$0.24 | | \$0.24 | | \$0.23 | \$0.25 | |
| | | | Globex TAS | | | \$0.30 | | | n/a | n/a | \$0.32 | | n/a | n/a | | | |
| | | | EFP EFR Block | | | \$0.88 | | | \$0.89 | \$0.45 | \$0.88 | | \$0.88 | | \$0.89 | \$0.45 | |
| 5 | International Incentive Program (IIP) International Volume Incentive Program (IVIP) <i>(For Other than Globex - See Non-Members)</i> | Member, Delegate or Non-Member | Globex | | | \$0.49 | | | \$0.49 | \$0.70 | \$0.54 | | \$0.54 | | \$0.54 | \$0.50 | |
| | | | Globex TAS | | | \$0.49 | | | n/a | n/a | \$0.54 | | n/a | n/a | | | |
| | Central Bank Incentive Program (CBIP) Latin American Fund Manager Incentive Program (FMIP) <i>(For Other than Globex - See Non-Members)</i> | Member, Delegate or Non-Member | Globex | \$0.56 | \$0.58 | \$0.65 | \$0.70 | | \$0.50 | \$0.70 | \$0.61 | \$0.70 | \$0.77 | \$0.80 | \$0.53 | \$0.55 | |
| | | | Globex TAS | \$0.56 | \$0.58 | \$0.65 | \$0.70 | | n/a | n/a | \$0.65 | \$0.65 | \$0.80 | \$0.87 | \$0.95 | n/a | n/a |
| | Non-Members | N/A | Globex | \$0.60 | \$0.65 | \$0.75 | \$0.80 | \$0.85 | \$0.82 | \$0.70 | \$0.65 | \$0.65 | \$0.80 | \$0.87 | \$0.95 | \$0.85 | \$0.70 |
| | | | Globex TAS | \$0.60 | \$0.65 | \$0.75 | \$0.80 | \$0.85 | n/a | n/a | \$0.65 | \$0.65 | \$0.80 | \$0.87 | \$0.95 | n/a | n/a |
| | | | EFP EFR Block | | | \$1.21 | | | \$1.41 | \$0.85 | \$1.21 | | \$1.41 | | \$1.41 | \$0.85 | |

- Transaction fees for **NYMEX ENERGY FUTURES** GLOBEX TAS and Block TAS (Trade-At-Settlement) Trades will now have a differentiated rate, and transaction fees for the products listed, as follows:

| | | | NEW COLUMN | | NEW COLUMN | |
|--------|---|----------|------------|------------|------------|------------|
| | | | Globex TAS | | ClearPort | |
| | | | | | Block TAS | |
| Symbol | Product | Division | Member | Non-Member | Member | Non-Member |
| BB | Brent Crude Oil Penultimate Financial Futures | NYMEX | 0.95 | 1.35 | 0.95 | 1.35 |
| BZ | Brent Look-Alike Crude Oil Futures | NYMEX | 0.80 | 0.87 | 0.90 | 1.70 |
| CL | Light Sweet Crude Oil (WTI) Futures | NYMEX | 0.80 | 1.60 | 0.90 | 1.70 |
| MCL | Micro WTI Crude Oil Futures | NYMEX | 0.30 | 0.60 | 0.35 | 0.65 |
| HH | Henry Hub Natural Gas Look-Alike Last Day Financial Futures | NYMEX | 0.80 | 1.55 | 0.80 | 1.55 |
| NG | Henry Hub Natural Gas Futures | NYMEX | 0.80 | 1.60 | 0.90 | 1.70 |
| NN | Henry Hub Natural Gas Last Day Financial Futures | NYMEX | 0.31 | 0.44 | 0.31 | 0.44 |
| 7F | European Low Sulphur Gasoil (100mt) Bullet Futures | NYMEX | 0.70 | 0.85 | 0.70 | 0.85 |
| HO | NY Harbor ULSD Futures | NYMEX | 0.80 | 1.60 | 0.90 | 1.70 |
| RB | RBOB Gasoline Futures | NYMEX | 0.80 | 1.60 | 0.90 | 1.70 |

- Differentiated “Day Rate” Transaction fees for **NYMEX ENERGY FUTURES** will be eliminated (and the standard Member rates will apply)

| | | | CURRENT | | NEW | |
|--------|-------------------------------------|----------|------------|--------|------------|--------|
| | | | Globex | | Globex | |
| Symbol | Product | Division | Member Day | Member | Member Day | Member |
| BZ | Brent Look-Alike Crude Oil Futures | NYMEX | 0.60 | 0.70 | N/A | 0.70 |
| CL | Light Sweet Crude Oil (WTI) Futures | NYMEX | 0.60 | 0.70 | N/A | 0.70 |
| NG | Henry Hub Natural Gas Futures | NYMEX | 0.60 | 0.70 | N/A | 0.70 |
| HO | NY Harbor ULSD Futures | NYMEX | 0.60 | 0.70 | N/A | 0.70 |
| RB | RBOB Gasoline Futures | NYMEX | 0.60 | 0.70 | N/A | 0.70 |

- Transaction fees for **NYMEX and COMEX METALS FUTURES & OPTIONS** will be adjusted as follows:

| Symbol | Product | CURRENT | | | | | NEW | | | | | |
|--------|--------------------------------|---------|-----------|---------|--------|------------|--------|------------|-----------|---------|--------|------------|
| | | Member | ClearPort | | Member | Non-Member | Member | Non-Member | ClearPort | | Member | Non-Member |
| | | | EFP | EFR/EOO | | | | | EFP | EFR/EOO | | |
| G1M | Gold Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G1W | Gold Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G2M | Gold Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G2W | Gold Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G3M | Gold Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G3W | Gold Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G4M | Gold Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G4W | Gold Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G5M | Gold Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| G5W | Gold Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| GC | Gold Futures | 0.70 | 0.85 | 1.50 | 3.35 | 4.00 | 0.75 | 0.85 | 1.55 | 3.35 | 4.00 | |
| H1E | Copper Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H1M | Copper Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H1W | Copper Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H2E | Copper Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H2M | Copper Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H2W | Copper Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H3E | Copper Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H3M | Copper Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H3W | Copper Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H4E | Copper Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H4M | Copper Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H4W | Copper Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H5E | Copper Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H5M | Copper Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| H5W | Copper Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| HG | Copper Futures | 0.70 | 0.85 | 1.50 | 3.35 | 4.00 | 0.75 | 0.85 | 1.55 | 3.35 | 4.00 | |
| HX | Copper Options | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| M1S | Silver Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| M2S | Silver Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| M3S | Silver Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| M4S | Silver Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| M5S | Silver Weekly Monday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| OG | Gold Options | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| OG1 | Gold Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| OG2 | Gold Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| OG3 | Gold Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| OG4 | Gold Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| OG5 | Gold Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| PA | Palladium Futures | 0.70 | 0.70 | 1.50 | 3.20 | 4.00 | 0.75 | 0.85 | 1.55 | 3.35 | 4.00 | |
| PAO | Palladium Options | 0.70 | N/A | N/A | 0.70 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| PL | Platinum Futures | 0.70 | 0.70 | 1.50 | 3.20 | 4.00 | 0.75 | 0.85 | 1.55 | 3.35 | 4.00 | |
| PO | Platinum Options | 0.70 | N/A | N/A | 0.70 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| SI | Silver Futures | 0.70 | 0.85 | 1.50 | 3.35 | 4.00 | 0.75 | 0.85 | 1.55 | 3.35 | 4.00 | |
| SO | Silver Options | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| SO1 | Silver Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| SO2 | Silver Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| SO3 | Silver Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| SO4 | Silver Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| SO5 | Silver Weekly Friday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| W1S | Silver Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| W2S | Silver Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| W3S | Silver Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| W4S | Silver Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |
| W5S | Silver Weekly Wednesday Option | 0.70 | N/A | N/A | 0.85 | 1.55 | 0.75 | N/A | N/A | 3.35* | 4.00* | |

- Transaction Fees for **NYMEX and COMEX METALS FUTURES** GLOBEX TAS and Block TAS (Trade-At-Settlement) Trades will now have a differentiated rate, for the products listed, as follows (excluding Micro Gold Futures):

| Symbol | Product | Division | NEW COLUMN | | NEW COLUMN | |
|--------|-------------------|----------|------------|------------|------------|------------|
| | | | Globex TAS | | ClearPort | |
| | | | Member | Non-Member | Member | Non-Member |
| GC | Gold Futures | COMEX | 0.85 | 1.70 | 0.90 | 1.75 |
| HG | Copper Futures | COMEX | 0.85 | 1.70 | 0.90 | 1.75 |
| PA | Palladium Futures | NYMEX | 0.85 | 1.70 | 0.90 | 1.75 |
| PL | Platinum Futures | NYMEX | 0.85 | 1.70 | 0.90 | 1.75 |
| SI | Silver Futures | COMEX | 0.85 | 1.70 | 0.90 | 1.75 |

- Facilitation Fees for **NYMEX and COMEX METALS PRODUCTS** will be adjusted as follows:

| | CURRENT | NEW |
|---------------|------------------|------------------|
| | Fac Fee | Fac Fee |
| Product Group | Facilitation Fee | Facilitation Fee |
| Metals | 0.50 | 0.60 |
| Micro Metals | 0.50 | 0.60 |

*Fees denoted with an asterisk are pending all relevant CFTC regulatory review periods. For all other fee amendments included herein, the CFTC will be notified during the week of February 6, 2023 via the weekly notification procedures set forth in Part 40 of the CFTC Regulations.

Please refer questions on this subject to:

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