

**SUBMISSION COVER SHEET**

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

Registered Entity Identifier Code (optional): 21-085

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 (mm/dd/yy): 02/09/21 Filing Description: Weekly Notification of Rule Amendments (Week of February 1, 2021)

**SPECIFY FILING TYPE**

Please note only ONE choice allowed per Submission.

**Organization Rules and Rule Amendments**

- |                                     |                                     |            |
|-------------------------------------|-------------------------------------|------------|
| <input type="checkbox"/>            | Certification                       | § 40.6(a)  |
| <input type="checkbox"/>            | Approval                            | § 40.5(a)  |
| <input checked="" type="checkbox"/> | Notification                        | § 40.6(d)  |
| <input type="checkbox"/>            | Advance Notice of SIDCO Rule Change | § 40.10(a) |
| <input type="checkbox"/>            | SIDCO Emergency Rule Change         | § 40.10(h) |

Rule Numbers: See filing.

**New Product**

Please note only ONE product per Submission.

- |                          |                                       |            |
|--------------------------|---------------------------------------|------------|
| <input type="checkbox"/> | Certification                         | § 40.2(a)  |
| <input type="checkbox"/> | Certification Security Futures        | § 41.23(a) |
| <input type="checkbox"/> | Certification Swap Class              | § 40.2(d)  |
| <input type="checkbox"/> | Approval                              | § 40.3(a)  |
| <input type="checkbox"/> | Approval Security Futures             | § 41.23(b) |
| <input type="checkbox"/> | Novel Derivative Product Notification | § 40.12(a) |
| <input type="checkbox"/> | Swap Submission                       | § 39.5     |

Official Product Name:

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

- |                          |   |                      |
|--------------------------|---|----------------------|
| <input type="checkbox"/> | Certification   | § 40.6(a)            |
| <input type="checkbox"/> | Certification Made Available to Trade Determination     | § 40.6(a)            |
| <input type="checkbox"/> | Certification Security Futures                          | § 41.24(a)           |
| <input type="checkbox"/> | Delisting (No Open Interest)                            | § 40.6(a)            |
| <input type="checkbox"/> | Approval  | § 40.5(a)            |
| <input type="checkbox"/> | Approval Made Available to Trade Determination          | § 40.5(a)            |
| <input type="checkbox"/> | Approval Security Futures                               | § 41.24(c)           |
| <input type="checkbox"/> | Approval Amendments to enumerated agricultural products | § 40.4(a), § 40.5(a) |
| <input type="checkbox"/> | "Non-Material Agricultural Rule Change"                 | § 40.4(b)(5)         |
| <input type="checkbox"/> | Notification  | § 40.6(d)            |

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

Rule Numbers: \_\_\_\_\_



Christopher Bowen  
Managing Director and Chief Regulatory Counsel  
Legal Department

February 9, 2021

**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. The Board of Trade of the City of Chicago, Inc.  
("CBOT" or "Exchange") Weekly Notification of Rule Amendments.  
CBOT Submission No. 21-085**

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 rule amendments effective during the week of February 1, 2021.

Effective February 1, 2021, the Exchange increased certain transaction fees as more specifically described in Special Executive Report ("SER") 8691. The SER is attached hereto as Exhibit A.

If you require any additional information, please contact the undersigned at (212) 299-2200 or via e-mail at [CMEGSubmissionInquiry@cmegroup.com](mailto:CMEGSubmissionInquiry@cmegroup.com).

Sincerely,

/s/ Christopher Bowen  
Managing Director and Chief Regulatory Counsel

Attachment: Exhibit A – SER 8691

**EXHIBIT A**



Special Executive Report

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**DATE:** December 17, 2020  
**SER#:** 8691  
**SUBJECT:** CME/CBOT/COMEX Exchange Transaction Fee Amendments Effective February 1, 2021

Effective February 1, 2021, Chicago Mercantile Exchange Inc. (“CME”), The Board of Trade of the City of Chicago, Inc. (“CBOT”), and Commodity Exchange, Inc. (“COMEX”) will increase certain transaction fees as more specifically described in the tables below.

- **CME EQUITY FUTURES** fees shall be amended as follows:
  - o Transaction fees for **CME Micro E-mini Futures** executed by **Non-Members** will be adjusted as follows:

Fees are charged per side (both buy and sell side) per contract.	Venue/Transaction Type	**Current**	**New**	
		Micro E-mini Index Futures & Options	Micro E-mini Index	
			Futures	Options
CBOE Members <i>(For S&amp;P Products Only; N/A For All Other Products - See Non-Members)</i>	Open Outcry  Delivery	\$0.04	\$0.04	\$0.04
	Globex - Outrights	\$0.19	\$0.24	\$0.19
	Globex - Spreads	\$0.13	\$0.18	\$0.13
	EFP EFR Block BTIC TACO	\$0.22	\$0.27	\$0.22
	Covered Fut & Opt Block	N/A	N/A	N/A
Members Trading Outside of Division <i>(For other than Globex During ETH - See Non-Members)</i>	Exercise Assign Future From	\$0.04	\$0.04	\$0.04
	Globex - During ETH Only	\$0.10	\$0.15	\$0.10
Non-Members <i>(Including: CTA/Hedge Fund Incentive Program Participants)</i>	Open Outcry  Delivery	\$0.05	\$0.05	\$0.05
	Globex - Outrights	\$0.20	\$0.25	\$0.20
	Globex - Spreads	\$0.14	\$0.19	\$0.14
	EFP EFR Block BTIC TACO	\$0.24	\$0.29	\$0.24
	Covered Fut & Opt Block	N/A	N/A	N/A
	Exercise Assign Future From	\$0.05	\$0.05	\$0.05

- **CBOT EQUITY FUTURES** fees shall be amended as follows:
  - o Transaction fees for **CBOT Micro E-Mini Dow Futures** executed by **Non-Members** will be adjusted as follows:

Type	Account Owner	Trading Rights of Individual Executing Trade	Venue/ Transaction Type	**Current**	**New**
				Micro E-mini Dow Futures	Micro E-mini Dow Futures
				5	Non-Members
			EFP   EFR   Block	\$0.24	\$0.29
			BTIC	n/a	n/a

- **COMEX METALS FUTURES** fees shall be amended as follows:
  - o Transaction Fees for **COMEX Metals Futures** executed by **Non-Members** will be adjusted for **Micro Precious Metals** products as follows:

Product	Division	<b>**Current**</b>		<b>**New**</b>	
		Non-Member	Non-Member	Non-Member	Non-Member
Micro Gold Futures	COMEX	0.30	0.30	0.50	0.50
Micro Silver Futures	COMEX	0.60	0.60	1.00	1.00

Please refer questions on this subject to:

- o For media inquiries: [news@cmegroup.com](mailto:news@cmegroup.com) +1 312-930-3193
- o For customer fee inquiries: [EFSAdmin@cmegroup.com](mailto:EFSAdmin@cmegroup.com) +1 312-648-5470