

**SUBMISSION COVER SHEET**

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

Registered Entity Identifier Code (optional): 20-425

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): 10/01/2020 Filing Description: Weekly Notification of Amendments Related to Product Terms and Conditions (Week of September 21, 2020)

**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 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:**

**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 checked="" type="checkbox"/> | Notification  | § 40.6(d)            |

**Official Name(s) of Product(s) Affected:** See filing.

**Rule Numbers:** See filing.

October 1, 2020

**VIA ELECTRONIC PORTAL**

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

**Re: CFTC Regulation 40.6(d) Notification. The Board of Trade of the City of Chicago, Inc. ("CBOT" or "Exchange") Weekly Notification of Amendments Related to Product Terms and Conditions.  
CBOT Submission No. 20-425**

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 September 21, 2020.

Effective September 21, 2020, the Exchange corrected a typographical error in the CBOT Rulebook Chapter 5 Position Limit, Position Accountability and Reportable Level Table (the "Table"). Specifically, the Exchange corrected the missing value in the Spot-Month Limit (In Contract Units) Leg (1) / Leg (2) column for the UAN FOB NOLA Futures contract (commodity code: UNO). The amended Table is provided under separate cover as Exhibit A in blackline format.

Effective September 24, 2020, Mercuria Energy America, LLC. changed its clearing agent to Mizuho Securities USA, LLC for the firm's Ethanol transactions. The marketplace was alerted of the change via MKR #09-24-20, which is attached hereto as Exhibit B.

Also, effective September 24, 2020, International FC Stone Financial Inc. changed its name to Stone X Markets, LLC. This is an informational change to the clearing agent listed for Ethanol firm Badger State Ethanol. In accordance with the changes above, the Exchange updated the CBOT Rulebook Chapter 7 "Facilities" Chart ("Chart") for "Ethanol." The Chart is attached under separate cover, in blackline format, as Exhibit C.

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

Attachments: Exhibit A – CBOT Rulebook Chapter 5 Position Limit, Position Accountability and Reportable Level Table (attached under separate cover) (blackline format)  
Exhibit B – MKR #09-24-20  
Exhibit C – CBOT Rulebook Chapter 7 “Facilities” Chart (attached under separate cover) (blackline format)

**Exhibit A**

**CBOT Rulebook**

**Chapter 5**

**Position Limit, Position Accountability and Reportable Level Table**

(additions underlined, deletions ~~overstruck~~)

(attached under separate cover)

## **Exhibit B**

**DATE:** September 24, 2020  
**MKR#:** 09-24-20  
**SUBJECT:** Change in Regular Firm's Clearing Agent

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The Exchange has been notified that **Mercuria Energy America, LLC.** has changed its clearing agent to **Mizuho Securities USA, LLC** for the firm's Ethanol transactions.

This change is effective immediately.

Please refer questions on this subject to:

### **Market Surveillance**

Terry Gehring      [Terry.Gehring@cmegroup.com](mailto:Terry.Gehring@cmegroup.com)      (312) 435-3644

The Commodity Futures Trading Commission (CFTC) will be notified of this change during the week of September 28, 2020 via the weekly notification procedures set out in Part 40 of the CFTC Regulations.

**Exhibit C**

**CBOT Rulebook  
Chapter 7  
Facilities Chart**

(additions underlined, deletions ~~overstruck~~)

(attached under separate cover)