CBOE STOCK EXCHANGE EXECUTE SUCCESS℠

Information Circular IC13-018

Date: February 21, 2013

To: Trading Permit Holders
From: Department of Market Regulation
RE: **CBSX Order Origin Code Recordation Requirements**

Overview

CBOE Rule 6.51, Interpretation and Policy .02, states in part, that when entering orders on the CBOE Stock Exchange ("CBSX"), each Trading Permit Holder ("TPH") shall submit trade information in such form as prescribed by the Exchange.

This circular is being issued to remind CBSX TPHs of the Exchange prescribed requirement to enter the appropriate account origin code on orders that are entered electronically, via telephone or in-person on CBSX.

As such, the correct order origin code must be recorded on **all** orders at the time of entry. For your reference, a copy of the accepted order origin description and values is copied below. For further information relating to order origin codes, please refer to the CBSX Order Routing Matrix: http://www.cbsx.com/transservices/matrix.aspx

Please be advised that failure to record the correct account origin code in accordance with this circular may constitute a violation of CBOE Rule 6.51, Interpretation and Policy .02.

Accepted Order Origin Values

Order Origin	Value
Agency	A
Broker/Dealer (Agency)	B
Agency	C
Program Order/Index Arbitrage (Principal)	D
Principal	E
Program Order/Index Arbitrage (Agency)	F
Principal	G
Market Maker Quote	I
Agency Do_Not_Route	J
Principal Do_Not_Route	K
Program Order/Non-Index Arbitrage (Principal)	L
Market Maker	M
Program Order/Non-Index Arbitrage (Agency)	N
Principal	P
Competing Dealer (Agency)	R
Competing Dealer (Principal)	T
Program Order/Index Arbitrage (Agency)	U
Agency	W
Program Order/Non-Index Arbitrage (Agency)	Y

Contact Information

TPHs that have any questions on this circular may contact CBOE Regulatory Interpretations and Guidance at (312) 786-8141 or email RegInterps@cboe.com .