



Arbitration Department
400 South LaSalle Street
Chicago, Illinois 60605

312-786-8093
Fax: 312-786-7919

Arbitration Award Availability Policy

All arbitration Awards issued for claims filed after September 1, 1989 are public documents, provided that a customer's name will be redacted from the public copy of an Arbitration Award upon the written request of the customer. To facilitate public access to Awards, all Awards are:

- 1) provided to the *Securities Arbitration Commentator* ("SAC"),¹ and
- 2) summarized in the CBOE's *Regulatory Bulletin*.²

In addition, Awards involving public customers are submitted to the Central Registration Depository ("CRD").³

Individuals may request a copy of a specific Award(s) issued under the auspices of the CBOE arbitration forum by submitting a written request to the Arbitration Department. Individuals may also contact the Arbitration Department to review copies of all public Awards. Arbitration Awards for recent CBOE arbitration cases can be viewed on the CBOE website, found at www.cboe.com.

Upon the appointment of an arbitrator to a claim, the parties to an arbitration may request previous Awards issued by a prospective arbitrator. Upon request, the CBOE will provide (free-of-charge) the 5 most recent CBOE Awards issued by the Arbitrator. If less than 5 public CBOE Awards are available, all Awards issued in cases filed after September 1, 1989 will be provided. If an appointed arbitrator has not previously served on behalf of the CBOE forum, upon request the CBOE will provide (free-of-charge) either: 1) the 5 most recent Awards issued by the arbitrator that are available from SAC, or 2) if less than 5 Awards are available, all Awards available from SAC, if any.

Any questions regarding this policy may be directed to Kerry Adler, Director of Arbitration, at (312) 786-8093. To order copies of Awards or to review previously issued public Awards, contact Donna Flaherty, Arbitration Coordinator, at (312) 786-7461.

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¹ For information, contact the *Securities Arbitration Commentator*, P. O. Box 112, Maplewood, NJ 07040; 973-761-5880, <http://www.sacarbitration.com>.

² The *Regulatory Bulletin* is a weekly publication of the CBOE. For information about the *Regulatory Bulletin*, contact Bulletin Subscriptions, CBOE, 400 South LaSalle Street, Chicago, IL 60605.

³ The CRD is a data bank that was developed by the National Association of Securities Dealers and the North American Securities Administrators Association. The Financial Industry Regulatory Authority ("FINRA") currently operates the CRD. For more information, contact FINRA at 1-800-289-9999, <http://www.finra.org>.