

SECURITIES LAW U.S. & CHICAGO SECURITIES EXCHANGES & REGULATORS

Most of these exchanges have a legal department (Office of General Counsel) as well as an Enforcement Department.

U.S. Securities & Exchange Commission

www.sec.gov

Financial Industry Regulatory Authority (FINRA)

www.finra.org/index.htm

Commodity Futures Trading Commission

www.cftc.gov

National Futures Association

www.nfa.futures.org

Chicago Board Options Exchange

www.cboe.com

Chicago Futures Exchange

www.cfe.cboe.com

NYSE - Arca Regulation

www.nyse.com/equities/nysearcaequities/1156241406908.html

Chicago Stock Exchange

www.chx.com

Chicago Mercantile Exchange/Chicago Board of Trade (recently merged into "CME Group")

www.cme.com

Illinois Secretary of State Securities Department

www.cyberdriveillinois.com/departments/securities/home.html

National Stock Exchange

www.nsx.com

Federal Deposit Insurance Corp

www.fdic.gov

Options Clearing Corporation

www.optionsclearing.com

OneChicago (a joint venture exchange between CME Group and CBOE)

www.onechicago.com