

November 2016

Attached please find the updated Foreign Listed Stock Index Futures and Options Approvals Chart, current as of November 2016. All prior versions are superseded and should be discarded. Please note the following developments since we last distributed the Approvals Chart:

- (1) The CFTC has approved for trading by U.S. Persons the Taiwan Futures Exchange's futures contract based on the Nifty 50 Index.
- (2) The Taiwan Futures Exchange has announced that its futures contract based on the Taiwan Futures Exchange Electronic Sector Index is now deemed a narrow-based index and therefore may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC. See note 22.

### For Additional Information

The information on the attached Approvals Chart is subject to change at any time. If you have questions or would like confirmation of the status of a specific contract, please contact:

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## Foreign Listed Stock Index Futures and Options Approvals

(November 2016)

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Australia/ASX	1-Day Option Contract based on the CBOT Mini-Sized Dow Futures Contract	None offered	Approved for sale to U.S. Persons (August 8, 2006 No-Action Letter issued to Sydney Futures Exchange (SFE))	None offered	None offered
Australia/ASX	S&P/ASX 50	Approved for sale to U.S. Persons (July 24, 2002 No-Action Letter issued to ASX Futures Exchange)	None offered	Approved for Eligible U.S. Institutions (August 13, 2007 SEC No-Action Letter issued to ASX Limited)	None offered
Australia/ASX	S&P/ASX 200	Approved for sale to U.S. Persons (July 24, 2002 No-Action Letter issued to ASX Futures Exchange)	None offered	Approved for Eligible U.S. Institutions (August 13, 2007 SEC No-Action Letter issued to ASX Limited)	Not approved
Australia/ASX	S&P/ASX 200 A-Reit	Not approved	None offered	Approved for Eligible U.S. Institutions (August 13, 2007 SEC No-Action Letter issued to ASX Limited)	None offered
Australia/ASX	S&P/ASX 200 VIX	Approved for sale to U.S. Persons (August 30, 2014 certification)	None offered	None offered	None offered
Australia/ASX	Single name equities	None offered	None offered	Approved for Eligible U.S. Institutions (August 13, 2007 SEC No-Action Letter issued to ASX Limited)	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Australia/ASX	SPI 200	Approved for sale to U.S. Persons (August 10, 1999 No-Action Letter issued to SFE)	Approved for sale to U.S. Persons (August 10, 1999 No-Action Letter issued to SFE)	Not approved	None offered
Austria/Wiener Borse (Vienna Stock Exchange)	ATX	Not approved	None offered	Not approved	None offered
Austria/Wiener Borse (Vienna Stock Exchange)	CECE Indices (CEX, CTX, HTX, PTX)	Not approved	None offered	Not approved	None offered
Austria/Wiener Borse (Vienna Stock Exchange)	Russian Traded	Not approved	None offered	Not approved	None offered
Austria/Wiener Borse (Vienna Stock Exchange)	Single name equities	None offered	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Belgium/Euronext Brussels <sup>16</sup>	BEL 20	Approved for sale to U.S. Persons (August 31, 2011 No-Action Letter issued to Euronext Brussels)	None offered	Approved for Eligible U.S. Institutions (September 17, 2014 Representation Letter from Euronext Brussels to SEC) <sup>4</sup>	None offered
Belgium/Euronext Brussels <sup>16</sup>	Mini BEL 20 (index participation units)	None offered	None offered	Not approved	None offered
Belgium/Euronext Brussels <sup>16</sup>	Mini Euro STOXX (index participation units)	None offered	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Belgium/Euronext Brussels <sup>16</sup>	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions for Eligible Options on individual equities that are listed and traded on Euronext Brussels (September 17, 2014 Representation Letter from Euronext Brussels to SEC) (see also Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Brazil/BM&F Bovespa S.A.	S&P BSE SENSEX	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/BM&F Bovespa S.A.	FTSE/JSE Top 40	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/BM&F Bovespa S.A.	Hang Seng	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/BM&F Bovespa S.A.	Ibovespa	Approved for sale to U.S. Persons (August 26, 2009 No-Action Letter issued to BM&F Bovespa S.A.) <sup>2</sup>	Approved for sale to U.S. Persons (August 26, 2009 No-Action Letter issued to BM&F Bovespa S.A.)	Not approved	Not approved
Brazil/BM&F Bovespa S.A.	Ibovespa Flex	None offered	None offered	Not approved	None offered
Brazil/BM&F Bovespa S.A.	IBrX 50	Approved for sale to U.S. Persons (May 24, 2016 certification)	Approved for sale to U.S. Persons (May 24, 2016 certification)	Not approved	None offered

For the definitions of “Eligible U.S. Institution” and “Eligible Option” and for other explanatory information, please see the endnotes at the end of this table.

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Brazil/BM&F Bovespa S.A.	MICEX	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/BM&F Bovespa S.A.	Mini Ibovespa	Approved for sale to U.S. Persons (August 26, 2009 No-Action Letter issued to BM&F Bovespa S.A.)	None offered	None offered	None offered
Brazil/BM&F Bovespa S.A.	S&P 500 Index	Approved for sale to U.S. Persons (September 24, 2012 certification)	Approved for sale to U.S. Persons (September 24, 2012 certification)	None offered	None offered
Canada/Montreal Exchange (Bourse de Montréal)	FTSE Emerging Markets Index	Approved for sale to U.S. Persons (March 21, 2014 CFTC No-Action Letter issued to Montreal Exchange)	None offered	None offered	None offered
Canada/Montreal Exchange (Bourse de Montréal)	iShares S&P/TSX 60	None offered ( <i>but see</i> S&P/TSX 60)	None offered	None offered ( <i>but see</i> S&P/TSX 60)	Approved for U.S. Persons generally pursuant to Registration Statement ( <i>see</i> S&P/TSX Canada 60)
Canada/Montreal Exchange (Bourse de Montréal)	iShares S&P/TSX Capped Energy	None offered ( <i>see also</i> S&P/TSX Capped Sector)	None offered	None offered ( <i>but see</i> S&P/TSX Capped Sector)	Approved for U.S. Persons generally pursuant to Registration Statement ( <i>see</i> S&P/TSX Canada 60)

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Canada/Montreal Exchange (Bourse de Montréal)	iShares S&P/TSX Capped Financials	None offered (see also S&P/TSX Capped Sector)	None offered	None offered (but see S&P/TSX Capped Sector)	Approved for U.S. Persons generally pursuant to Registration Statement (see S&P/TSX Canada 60)
Canada/Montreal Exchange (Bourse de Montréal)	iShares S&P/TSX Global Gold	None offered	None offered	None offered	Approved for U.S. Persons generally pursuant to Registration Statement (see S&P/TSX Canada 60)
Canada/Montreal Exchange (Bourse de Montréal)	iShares S&P/TSX Capped Information Technology	None offered (see also S&P/TSX Capped Sector below)	None offered	None offered (but see S&P/TSX Capped Sector)	Approved for U.S. Persons generally pursuant to Registration Statement (see S&P/TSX Canada 60)
Canada/Montreal Exchange (Bourse de Montréal)	S&P/TSX 60 Index Mini Futures	Approved for sale to U.S. Persons (April 19, 2012 certification)	None offered	None offered	None offered
Canada/Montreal Exchange (Bourse de Montréal)	S&P/TSX 60	Approved for sale to U.S. Persons (December 9, 1999 CFTC No-Action Letter issued to Montreal Exchange) <sup>3</sup>	None offered	Approved, including approval of all other index options, for sale to U.S. Persons generally that are now or may in the future be listed (Post-Effective Amendment No. 27 to Registration Statement on Form S-20 filed by Canadian Derivatives Clearing Corp.; SEC File No. 2-69458)	None offered (but see iShares S&P/TSX 60)

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Canada/Montreal Exchange (Bourse de Montréal)	S&P/TSX Capped Sector	Not approved	None offered	Approved for U.S. Persons generally pursuant to Registration Statement (see S&P/TSX Canada 60)	None offered ( <i>but see</i> iShares S&P/TSX Capped Energy; iShares S&P/TSX Capped Financials; iShares S&P/TSX Capped Information Technology)
Canada/Montreal Exchange (Bourse de Montréal)	Single name equities	None offered	None offered	Approved for all options on individual securities listed on the Montreal Exchange that are now or may in the future be listed for sale to U.S. Persons generally (Post-Effective Amendment No. 27 to Registration Statement on Form S-20 filed by Canadian Derivatives Clearing Corp.; SEC File No. 2-69458)	None offered
China ( <i>see also</i> Hong Kong and Taiwan)/China Financial Futures Exchange	CSI 300 Index Futures	Not approved	None offered	None offered	None offered
Denmark/Nasdaq Copenhagen	OMX Copenhagen 20 (OMXC20)	Not approved	None offered	Not approved	None offered
Denmark/Nasdaq Copenhagen	Single name equities	None offered	None offered	Not approved ( <i>but see</i> U.K./ICE Futures Europe – Single name equities; U.K./Turquoise Global Holdings Limited) <sup>4,11</sup>	None offered

For the definitions of “Eligible U.S. Institution” and “Eligible Option” and for other explanatory information, please see the endnotes at the end of this table.

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Finland/Nasdaq Helsinki	Single name equities	None offered	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
France/Euronext Paris S.A. <sup>16</sup>	CAC 40	Approved for sale to U.S. Persons (December 17, 1991 No-Action Letter issued to ParisBourse) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (June 17, 1996 SEC No-Action Letter issued to MONEP, confirmed by December 6, 1999 SEC No-Action Letter issued to ParisBourse) <sup>4</sup>	None offered
France/Euronext Paris S.A. <sup>16</sup>	CAC 40 Mini	Approved for sale to U.S. Persons (September 13, 2013 certification)	None offered	None offered	None offered
France/Euronext Paris S.A. <sup>16</sup>	Euro STOXX 50	Approved for sale to U.S. Persons (February 29, 2000 CFTC No-Action Letter issued to ParisBourse) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (October 26, 1998 SEC No-Action Letter issued to MONEP, confirmed by December 6, 1999 SEC No-Action Letter issued to ParisBourse)	None offered
France/Euronext Paris S.A. <sup>16</sup>	STOXX 50	Approved for sale to U.S. Persons (February 29, 2000 CFTC No-Action Letter issued to ParisBourse) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (October 26, 1998 SEC No-Action Letter issued to MONEP, confirmed by December 6, 1999 SEC No-Action Letter issued to ParisBourse)	None offered



Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
France/Euronext Paris S.A. <sup>16</sup>	STOXX 600 Sectors (Bank, Energy, Healthcare, Technology, Telecommunications)	Not approved	None offered	Not approved	None offered
France/Euronext Paris S.A. <sup>16</sup>	FTSE EPRA/NAREIT Euro Zone	Approved for sale to U.S. Persons (July 10, 2008 CFTC No-Action Letter issued to Euronext LIFFE, on behalf of Euronext Paris S.A.)	None offered	None offered	Not approved
France/Euronext Paris S.A. <sup>16</sup>	FTSE EPRA/NAREIT Europe	Approved for sale to U.S. Persons (July 10, 2008 CFTC No-Action Letter issued to Euronext LIFFE, on behalf of Euronext Paris S.A.)	None offered	None offered	Not approved
France/Euronext Paris S.A. <sup>16</sup>	FTSEurofirst 100	Approved for sale to U.S. Persons (March 5, 2007 CFTC No-Action Letter issued to Euronext LIFFE, on behalf of Euronext Paris S.A.)	None offered	None offered <sup>4</sup>	None offered
France/Euronext Paris S.A. <sup>16</sup>	FTSEurofirst 80	Approved for sale to U.S. Persons (March 5, 2007 CFTC No-Action Letter issued to Euronext LIFFE, on behalf of Euronext Paris S.A.)	None offered	Approved for Eligible U.S. Institutions (September 17, 2014 Representation Letter from Euronext Paris to SEC) <sup>4</sup>	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
France/Euronext Paris S.A. <sup>16</sup>	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions for Eligible Options on individual equities that are listed and traded on Euronext Paris or other specified markets <sup>18</sup> (September 17, 2014 Representation Letter from Euronext Paris to SEC) ( <i>see also</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Germany/Börse Frankfurt	Single name equities	None offered	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Germany/Eurex <sup>16</sup>	ATX	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	ATX five	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	CECE EUR	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	Not approved

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	DAX	Approved for sale to U.S. Persons (December 20, 1994 CFTC No-Action Letter issued to Deutsche Terminborse) <sup>3, 22</sup>	None offered	Approved for Eligible U.S. Institutions, including weekly options with expiries on 1st, 2nd, 4th and 5th Fridays (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	DivDAX	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Banks Titans 30	Not approved	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Insurance Titans 30	Not approved	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Oil and Gas Titans 30	Not approved	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Telecommunications Titans 30	Not approved	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Utilities Titans 30	Not approved	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Global Titans 50 (EUR)	Approved for sale to U.S. Persons (July 18, 2002 CFTC No-Action Letter issued to Eurex)	None offered	Not approved <sup>20</sup>	None offered
Germany/Eurex <sup>16</sup>	Dow Jones Global Titans 50 Index (USD)	Approved for sale to U.S. Persons (June 4, 2012 certification)	None offered	None offered	None offered

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	Dow Jones Italy Titans 30	Approved for sale to U.S. Persons (November 23, 2005 CFTC No-Action Letter issued to Eurex)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX	Approved for sale to U.S. Persons (June 4, 2012 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX 50	Approved for sale to U.S. Persons (April 6, 2000 CFTC No-Action Letter issued to Eurex) <sup>3, 22</sup>	None offered	Approved for Eligible U.S. Institutions, including weekly options with expiries on 1st, 2nd, 4th and 5th Fridays (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX 50 Dividend	Not approved	Not approved	Not approved	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX 50 Ex Financials Index	Approved for sale to U.S. Persons (August 27, 2012 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX 50 Quanto	Approved for sale to U.S. Persons (March 21, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX 50 Variance	Approved for sale to U.S. Persons (November 15, 2014 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	EURO STOXX Banks	Not approved <sup>8</sup>	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX Banks Dividend	Not approved	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX Large	Approved for sale to U.S. Persons (June 4, 2012 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX Mid	Approved for sale to U.S. Persons (June 4, 2012 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX Select Dividend 30	Approved for sale to U.S. Persons (August 18, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	EURO STOXX Small	Approved for sale to U.S. Persons (June 4, 2012 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	Various other EURO STOXX Sector Indices	Not approved	None offered	Certain of these options are approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	KOSPI 200 Options <sup>6</sup>	Not approved	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	MDAX	Approved for sale to U.S. Persons (March 14, 2006 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	Mini DAX	Approved for sale to U.S. Persons (October 22, 2015 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	Mini Euro STOXX 50 Volatility (VSTOXX)	Approved for sale to U.S. Persons (July 20, 2012 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI AC Asia Pacific	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI AC Asia Pacific ex-Japan	Approved for sale to U.S. Persons (June 17, 2013 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI ACWI	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI ACWI ex US	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Australia	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	MSCI China Free	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Emerging Markets	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Not approved	Not approved
Germany/Eurex <sup>16</sup>	MSCI Emerging Markets Net Total Return (Euro-denominated)	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	MSCI Emerging Markets Asia	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI Emerging Markets EMEA	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI Emerging Markets Price Index	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	MSCI Emerging Markets Latin America	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	MSCI EMU	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	MSCI Europe	Approved for sale to U.S. Persons (June 17, 2013 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	Not approved
Germany/Eurex <sup>16</sup>	MSCI Europe ex-Switzerland	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Europe Growth	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI Europe Price Index	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI Europe Net Total Return (USD)	Approved for sale to U.S. Persons (June 22, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Europe Value	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI Frontier Markets Index	Approved for sale to U.S. Persons (July 14, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Hong Kong	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered

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Germany/Eurex <sup>16</sup>	MSCI India	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Indonesia	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Japan	Approved for sale to U.S. Persons (June 17, 2013 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Japan Gross Total Return (USD)	Approved for sale to U.S. Persons (June 22, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Kokusai Gross Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Kokusai Net Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Malaysia	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Mexico	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Pacific Gross Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Pacific Net Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered

For the definitions of "Eligible U.S. Institution" and "Eligible Option" and for other explanatory information, please see the endnotes at the end of this table.

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	MSCI Pacific ex Japan	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Russia	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	MSCI South Africa	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI Thailand	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI United Kingdom	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI USA Equal Weighted	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI USA	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI USA Momentum	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI USA Quality	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	MSCI USA Value Weighted	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI World	Approved for sale to U.S. Persons (June 17, 2013 certification)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	MSCI World Net Total Return (Euro-denominated)	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	MSCI World MidCap	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	MSCI World Price Index	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex <sup>16</sup>	OMXH25 (HEX 25 Finnish)	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	RDX EUR	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	RDX USD <sup>12</sup>	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	SENSEX	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions for options on equities listed and traded on other exchanges excluding U.S. securities (December 1, 2015 Representation Letter from Eurex to SEC) <sup>5</sup>	None offered
Germany/Eurex <sup>16</sup>	SLI Swiss Leader	Approved for sale to U.S. Persons (August 18, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 50	Approved for sale to U.S. Persons (April 6, 2000 CFTC No-Action Letter issued to Eurex) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 600	Approved for sale to U.S. Persons (June 4, 2012 certification; <i>see also</i> July 18, 2007 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Banks	Approved for sale to U.S. Persons (April 2, 2002 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Industrial Goods & Services	Approved for sale to U.S. Persons (February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Insurance	Approved for sale to U.S. Persons (February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Media	Approved for sale to U.S. Persons (February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Personal & Household Goods	Not approved <sup>7</sup>	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Travel & Leisure	Approved for sale to U.S. Persons (February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	STOXX Europe 600 Utilities	Approved for sale to U.S. Persons (February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	Various other STOXX Europe 600 Sector Indices	Not approved	None offered	Certain of these options are approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) <sup>19</sup>	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe Large 200	Approved for sale to U.S. Persons (June 4, 2012 certification; <i>see also</i> February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe Mid 200	Approved for sale to U.S. Persons (June 4, 2012 certification; <i>see also</i> July 18, 2007 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	STOXX Europe Small 200	Approved for sale to U.S. Persons (June 4, 2012 certification; <i>see also</i> February 6, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	STOXX Global Select Dividend 100	Approved for sale to U.S. Persons (February 2, 2016 certification)	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Germany/Eurex <sup>16</sup>	Swiss Market Index (SMI)	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	Not approved <sup>20</sup>
Germany/Eurex <sup>16</sup>	Swiss Market Index Midcap (SMIM)	Approved for sale to U.S. Persons (August 18, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex <sup>16</sup>	TA-25	Approved for sale to U.S. Persons (July 14, 2014 certification)	None offered	None offered	None offered
Germany/Eurex <sup>16</sup>	TecDAX	Approved for sale to U.S. Persons (August 18, 2008 CFTC No-Action Letter issued to Eurex)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Greece/Athens Exchange Derivatives Market	FTSE/ATHEX Large Cap	Not approved	None offered	Not approved	None offered
Greece/Athens Exchange Derivatives Market	FTSE/ATHEX Mid Cap	Not approved	None offered	Not approved	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	CES China 120	Approved for sale to U.S. Persons (September 17, 2013 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	DJIA	Not approved	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	FTSE/Xinhua China 25	Approved for sale to U.S. Persons (September 26, 2006 CFTC No-Action Letter issued to HKFE)	None offered	Not approved	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	Hang Seng	Approved for sale to U.S. Persons (June 1, 1994 CFTC No-Action Letter issued to HKFE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (August 24, 2015 Representation Letter from Hong Kong Futures Exchange Limited to SEC; September 26, 1995 SEC No-Action Letter issued to HKFE)	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	HSCEI Dividend Point Index	Not Approved	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	H-Shares (Hang Seng China Enterprises Index)	Approved for sale to U.S. Persons (September 26, 2006 CFTC No-Action Letter issued to HKFE)	None offered	Approved for Eligible U.S. Institutions (August 24, 2015 Representation Letter from Hong Kong Futures Exchange Limited to SEC)	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	HSI Volatility Index (VHSI)	Approved for sale to U.S. Persons (September 17, 2013 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	Mini Hang Seng	Approved for sale to U.S. Persons (January 16, 2009 CFTC No-Action Letter issued to HKFE)	None offered	Approved for Eligible U.S. Institutions (August 24, 2015 Representation Letter from Hong Kong Futures Exchange Limited to SEC)	None offered

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) <sup>16</sup>	Mini Hang Seng China Enterprises Index	Approved for sale to U.S. Persons (January 16, 2009 CFTC No-Action Letter issued to HKFE)	None offered	Not approved	None offered
Hong Kong/The Stock Exchange of Hong Kong Limited (SEHK) <sup>16</sup>	Single name equities	None offered	None offered	Approved for Eligible U.S. Institutions (August 24, 2015 Representation Letter from The Stock Exchange of Hong Kong Limited to SEC)	None offered
Hungary/Budapest Stock Exchange	BUX	Not approved	None offered	Not approved	None offered
India/Bombay Stock Exchange (BSE)	BSE Sensitive Index of 30 Stocks (Sensex) <sup>9</sup>	Approved for sale to U.S. Persons (June 14, 2006 CFTC No-Action Letter issued to BSE)	None offered	Not approved	None offered
India/Bombay Stock Exchange (BSE)	DOLLEX-30 <sup>9</sup>	Not approved	None offered	Not approved	None offered
India/Bombay Stock Exchange (BSE)	S&P BSE 100 <sup>9</sup>	Approved for sale to U.S. Persons (September 24, 2013 certification)	None offered	Not approved	None offered
India/National Stock Exchange of India Ltd. (NSE)	Bank Nifty <sup>9</sup>	Not approved	None offered	Not approved	None offered
India/National Stock Exchange of India Ltd. (NSE)	CNXIT <sup>9</sup>	Not approved	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
India/National Stock Exchange of India Ltd. (NSE)	S&P CNX Nifty (“Nifty 50”) <sup>9</sup>	Approved for sale to U.S. Persons (October 17, 2003 CFTC No-Action Letter issued to NSE)	None offered	Not approved	None offered
Ireland/Irish Stock Exchange	Single name equities	None offered	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Israel/Tel Aviv Stock Exchange	TA-25	Not approved	None offered	Not approved	None offered
Israel/Tel Aviv Stock Exchange	TA Banks	Not approved	None offered	Not approved	None offered
Italy/Borsa Italiana – IDEM <sup>16</sup>	FTSE MIB Dividend	Approval pending	None offered	None offered	None offered
Italy/Borsa Italiana – IDEM <sup>16</sup>	FTSE MIB	Approved for sale to U.S. Persons (August 30, 2004 CFTC No-Action Letter issued to Borsa Italiana)	None offered	Approved for Eligible U.S. Institutions (September 4, 2015 Representation Letter from Borsa Italiana to SEC; September 24, 2004 SEC No-Action Letter issued to Borsa Italiana)	None offered
Italy/Borsa Italiana – IDEM <sup>16</sup>	Mini FTSE MIB	Approved for sale to U.S. Persons (August 30, 2004 CFTC No-Action Letter issued to Borsa Italiana)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Italy/Borsa Italiana – IDEM <sup>16</sup>	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions (September 4, 2015 Representation Letter from Borsa Italiana to SEC; <i>see also</i> September 1, 1998 SEC No-Action Letter issued to Borsa Italiana with respect to options on individual ISE equities) ( <i>see also</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	DJIA	Approved for sale to U.S. Persons (June 15, 2012 certification)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	FTSE Japan	Approved for sale to U.S. Persons (February 13, 2003 No-Action Letter issued to OSE)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	JPX-Nikkei Index 400	Approved for sale to U.S. Persons (October 21, 2014 certification)	None offered	Not approved	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Mini Nikkei 225	Approved for sale to U.S. Persons (July 10, 2006 CFTC No-Action Letter issued to OSE) <sup>3</sup>	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Mini Tokyo Stock Price Index (TOPIX)	Approved for sale to U.S. Persons (November 9, 2009 CFTC No-Action Letter issued to TSE)	None offered	None offered	None offered

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Japan/Osaka Exchange (OSE) <sup>16</sup>	Nikkei 225 Dividend	Not approved	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Nikkei 225	Approved for sale to U.S. Persons (January 16, 1992 CFTC No-Action Letter issued to OSE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (July 23, 1999 SEC No-Action Letter issued to OSE)	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Nikkei Stock Average Volatility	Approved for sale to U.S. Persons (March 9, 2012 certification)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Russell/Nomura Prime	Approved for sale to U.S. Persons (March 14, 2005 No-Action Letter issued to OSE)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Single name equities	None offered	None offered	Approved for Eligible U.S. Institutions for Eligible Options on individual equities that are listed and traded on the OSE or other Japanese exchanges and that meet OSE selection standards (March 14, 2014 Representation Letter from Tokyo Stock Exchange and Osaka Securities Exchange to SEC)	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	Tokyo Stock Exchange Mothers Index	Approved for sale to U.S. Persons (July 12, 2016 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Japan/Osaka Exchange (OSE) <sup>16</sup>	Tokyo Stock Exchange REIT	Approved for sale to U.S. Persons (November 9, 2009 CFTC No-Action Letter issued to TSE)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	TOPIX	Approved for sale to U.S. Persons (January 16, 1992 CFTC No-Action Letter issued to TSE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (July 27, 1999 SEC No-Action Letter issued to TSE)	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	TOPIX 150	Approved for sale to U.S. Persons (May 23, 2001 CFTC No-Action Letter issued to TSE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (November 15, 2002 SEC No-Action Letter issued to TSE)	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	TOPIX Banks	Not approved	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) <sup>16</sup>	TOPIX Core30	Approved for sale to U.S. Persons (November 9, 2009 CFTC No-Action Letter issued to TSE)	None offered	None offered	None offered
Japan/Tokyo Financial Exchange (TFX)	Nikkei 225 Margin	Not approved	None offered	None offered	None offered
Korea – see South Korea	-	-	-	-	-
Malaysia/Bursa Malaysia Derivatives Berhad (BMD)	FTSE Bursa Malaysia Kuala Lumpur Composite	Approved for sale to U.S. Persons (June 28, 2011 CFTC No-Action Letter issued to Bursa Malaysia Derivatives Berhad)	Approved for sale to U.S. Persons (June 28, 2011 CFTC No-Action Letter issued to Bursa Malaysia Derivatives Berhad)	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Mexico/Mexican Derivatives Exchange (MEXDER)	IPC	Approved for sale to U.S. Persons (August 24, 2006 CFTC No-Action Letter issued to Mercado Mexicano de Derivados, S.A. de C.V.)	Approved for sale to U.S. Persons (August 24, 2006 CFTC No-Action Letter issued to Mercado Mexicano de Derivados, S.A. de C.V.)	None offered	Not approved
Mexico/Mexican Derivatives Exchange (MEXDER)	Mini IPC	Approved for sale to U.S. Persons (March 26, 2014 certification)	None offered	None offered	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	AEX	Approved for sale to U.S. Persons (April 7, 2003 CFTC No-Action Letter issued to Euronext Amsterdam Derivatives Markets N.V.)	None offered	Approved for Eligible U.S. Institutions (September 17, 2014 Representation Letter from Euronext Amsterdam to SEC) <sup>4</sup>	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	AEX Mini	Approved for sale to U.S. Persons (September 13, 2013 certification)	None offered	Not approved	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	Amsterdam Mid-Kap	Not approved	None offered	Not approved	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	FTSE Eurotop 100	Approved for sale to U.S. Persons (May 14, 1996 CFTC No-Action Letter issued to Financieel Termijnmarkt Amsterdam) <sup>3</sup>	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	Light AEX	Approved for sale to U.S. Persons (April 7, 2003 CFTC No-Action Letter issued to Euronext Amsterdam Derivatives Markets N.V.)	None offered	Not approved	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	PSI 20	None offered ( <i>but see</i> Euronext Lisbon)	None offered	Not approved <sup>4</sup>	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. <sup>16</sup>	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions for Eligible Options on individual equities that are listed and traded on Euronext Amsterdam or other specified markets <sup>17</sup> (September 17, 2014 Representation Letter from Euronext Amsterdam to SEC) ( <i>see also</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
New Zealand/NZFOE	NZX 10	Not approved	Not approved	None offered	None offered
Norway/Oslo Stock Exchange	OBX	Not approved	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Norway/Oslo Stock Exchange	Single name equities	None offered	None offered	Not approved ( <i>but see</i> U.K./ICE Futures Europe – Single name equities; U.K./Turquoise Global Holdings Limited – Single name equities) <sup>4,11</sup>	None offered
Poland/Warsaw Stock Exchange	WIG20	Approved for sale to U.S. Persons (May 15, 2015 certification)	None offered	Not approved	None offered
Portugal/Euronext Lisbon	PSI 20	Not approved	None offered	None offered ( <i>but see</i> Euronext Amsterdam) <sup>4</sup>	None offered
Portugal/Euronext Lisbon	Single name equities	Not approved	None offered	Not approved ( <i>but see</i> U.K./ICE Futures Europe – Single name equities) <sup>4</sup>	None offered
Russia	Single name equities	-	-	See Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities; U.K./London Stock Exchange Derivatives – Single name equities <sup>4,5,14</sup>	-
Russia/Moscow Exchange (Moscow Interbank Currency Exchange and Russian Trading System Stock Exchange)	MICEX Index	Not approved	Not approved	None offered	None offered



Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Russia/Moscow Exchange (Moscow Interbank Currency Exchange and Russian Trading System Stock Exchange)	MICEX Index (mini)	Not approved	Not approved	None offered	None offered
Russia/Moscow Exchange (Moscow Interbank Currency Exchange and Russian Trading System Stock Exchange)	RTS Index	Approval pending	Not approved	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Dow Jones Thailand	Not approved (the requested approval was deemed withdrawn by the CFTC in 2004)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Euro STOXX 50	Approved for sale to U.S. Persons (March 22, 2012 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE/Xinhua China A50	Approved for sale to U.S. Persons (January 26, 2012 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Mini Nikkei 225	Approved for sale to U.S. Persons (December 23, 2009 CFTC No-Action Letter issued to SGX-DT)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Asia APEX 50	Approved for sale to U.S. Persons (January 26, 2012 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI China Free Index	Approved for sale to U.S. Persons (April 4, 2016 certification)	None offered	None offered	None offered

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Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Hong Kong+	Approved for sale to U.S. Persons (December 17, 1999 CFTC No-Action Letter issued to SIMEX)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI India	Approved for sale to U.S. Persons (January 20, 2014 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Indonesia	Approved for sale to U.S. Persons (October 2, 2012 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Malaysia Index	Approved for sale to U.S. Persons (November 25, 2014 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Philippines	Approved for sale to U.S. Persons (January 20, 2014 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Singapore Free	Approved for sale to U.S. Persons (June 21, 2000 CFTC No-Action Letter issued to SGX-DT) <sup>3</sup>	Approved for sale to U.S. Persons (June 21, 2000 CFTC No-Action Letter issued to SGX-DT) <sup>3</sup>	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Taiwan	Approved for sale to U.S. Persons (August 29, 1997 CFTC No-Action Letter issued to SIMEX) <sup>3</sup>	Approved for sale to U.S. Persons (August 29, 1997 CFTC No-Action Letter issued to SIMEX) <sup>3</sup>	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Thailand	Approved for sale to U.S. Persons (January 20, 2014 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Nifty Midcap 50	Approved for sale to U.S. Persons (April 15, 2016)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Nikkei	Approved for sale to U.S. Persons (December 5, 1986 CFTC No-Action Letter issued to SIMEX) <sup>3</sup>	Approved for sale to U.S. Persons (December 5, 1986 CFTC No-Action Letter issued to SIMEX) <sup>3</sup>	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Nikkei 225 (USD)	Approved for sale to U.S. Persons (May 24, 2007 CFTC No-Action Letter issued to SGX-DT)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Nikkei 300	Approved for sale to U.S. Persons (December 13, 1995 CFTC No-Action Letter issued to SIMEX) <sup>3</sup>	Approved for sale to U.S. Persons (December 13, 1995 CFTC No-Action Letter issued to SIMEX) <sup>3</sup>	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Nifty 50	Approved for sale to U.S. Persons (January 7, 2004 CFTC No-Action Letter issued to SGX-DT)	None offered	Not approved	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	SGX MSCI Japan	Approved for sale to U.S. Persons (February 13, 2003 CFTC No-Action Letter issued to SGX-DT)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	SGX Straits Times (STI)	Not approved	None offered	None offered	None offered
South Africa/JSE/SAFEX	ALSI/FTSE JSE 40	Approved for sale to U.S. Persons (June 28, 2002 CFTC No-Action Letter issued to SAFEX)	None offered	Not approved	None offered

For the definitions of “Eligible U.S. Institution” and “Eligible Option” and for other explanatory information, please see the endnotes at the end of this table.

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
South Africa/JSE/SAFEX	Financial	Not approved	None offered	None offered	None offered
South Africa/JSE/SAFEX	FTSE/JSE Shareholder Weighted Top 40 Index (DTOP)	Not approved	Not approved	None offered	None offered
South Africa/JSE/SAFEX	Industrial	Not approved	None offered	None offered	None offered
South Africa/JSE/SAFEX	Mining	Not approved	None offered	None offered	None offered
South Korea/Korea Exchange	KOSDAQ 150	Not approved	None offered	None offered	None offered
South Korea/Korea Exchange	KOSPI 200	Approved for sale to U.S. Persons (November 26, 2008 CFTC No-Action Letter issued to Korea Futures Exchange)	None offered	Not approved	None offered
South Korea/Korea Exchange	Mini KOSPI 200	Not approved	None offered	Not approved	None offered
Spain/Madrid Stock Exchange	Single name equities	None offered	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Spain/MEFF	IBEX 35	Approved for sale to U.S. Persons (August 8, 1994 CFTC No-Action Letter issued to MEFF) <sup>3</sup>	None offered	Not approved	None offered
Spain/MEFF	IBEX 35 Mini	Not approved	Not approved	None offered	None offered
Spain/MEFF	S&P Euro	Approved for sale to U.S. Persons (June 14, 2001 CFTC No-Action Letter issued to MEFF)	None offered	None offered	None offered

For the definitions of “Eligible U.S. Institution” and “Eligible Option” and for other explanatory information, please see the endnotes at the end of this table.

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Spain/MEFF	S&P Europe 350	Approved for sale to U.S. Persons (June 14, 2001 CFTC No-Action Letter issued to MEFF)	None offered	None offered	None offered
Sweden/Stockholm Stock Exchange Ltd.	OMXcap	Approved for sale to U.S. Persons (May 25, 2000 CFTC No-Action Letter issued to OM Stockholm) <sup>3</sup>	None offered	Not approved	None offered
Sweden/Stockholm Stock Exchange Ltd.	OMXS30 (formerly OMX)	Approved for sale to U.S. Persons (June 3, 1998 CFTC No-Action Letter issued to OM Stockholm, and reaffirmed April 17, 2007, CFTC No-Action Letter issued to Stockholm Stock Exchange Ltd. (formerly OM Stockholm)) <sup>3</sup>	None offered	Not approved	None offered
Sweden/Stockholm Stock Exchange Ltd.	Single name equities	Not approved	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities; U.K./Turquoise Global Holdings Limited – Single name equities) <sup>4,5,11</sup>	None offered
Sweden/Stockholm Stock Exchange Ltd.	VINX30	Approved for sale to U.S. Persons (November 13, 2007 CFTC No-Action Letter issued to OMX Stockholm)	None offered	Not approved	Not approved

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Switzerland/SIX Swiss Exchange Ltd	Single name equities	None offered	None offered	Not approved ( <i>but see</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
Taiwan/Taiwan Futures Exchange	Electronic Sector	Not approved <sup>23</sup>	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	None offered
Taiwan/Taiwan Futures Exchange	Finance Sector	Approved for sale to U.S. Persons (May 16, 2005 CFTC No-Action Letter issued to Taiwan Futures Exchange)	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	None offered
Taiwan/Taiwan Futures Exchange	Taipei Exchange Capitalization Weighted Stock Index	Approved for sale to U.S. Persons (October 24, 2011 No-Action Letter issued to Taiwan Futures Exchange)	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	None offered
Taiwan/Taiwan Futures Exchange	Mini-TAIEX	Approved for sale to U.S. Persons (June 2, 2004 CFTC No-Action Letter issued to Taiwan Futures Exchange)	None offered	None offered	None offered
Taiwan/Taiwan Futures Exchange	MSCI Taiwan (Taiwan Futures Exchange delisted the product on September 22, 2011)	Approved for sale to U.S. Persons (October 11, 2006 CFTC No-Action Letter issued to Taiwan Futures Exchange)	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
Taiwan/Taiwan Futures Exchange	Nifty 50	Approved for sale to U.S. Persons (November 8, 2016 certification)	None offered	None offered	None offered
Taiwan/Taiwan Futures Exchange	TAIEX	Approved for sale to U.S. Persons (July 1, 2004 CFTC No-Action Letter issued to Taiwan Futures Exchange)	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	None offered
Taiwan/Taiwan Futures Exchange	Taiwan Stock Exchange Non-Finance Non-Electronics	Approved for sale to U.S. Persons (April 1, 2008 CFTC No-Action Letter issued to Taiwan Futures Exchange)	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	None offered
Taiwan/Taiwan Futures Exchange	TOPIX	Approved for sale to U.S. Persons (July 26, 2016 certification)	None offered	None offered	None offered
Taiwan/Taiwan Futures Exchange	TSEC Taiwan 50	Not approved	None offered	None offered	None offered
Thailand/Thailand Futures Exchange PCL	SET50	Approved for sale to U.S. Persons (November 26, 2008 CFTC No-Action Letter issued to Thailand Futures Exchange)	None offered	Not approved	None offered
Turkey/Borsa İstanbul Derivatives Market (VIOP)	BIST 30 (formerly ISE 30) <sup>13</sup>	Approved for sale to U.S. Persons (August 17, 2010 CFTC No-Action Letter issued to Turkish Derivatives Exchange)	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
U.K./ICE Futures Europe <sup>16</sup>	AEX	None offered	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	BEL 20	None offered	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	CAC 40	None offered	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE 100	Approved for sale to U.S. Persons (January 16, 1990 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) (see also May 1, 1992 SEC No-Action Letter issued to LIFFE) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE 100 Dividend - RDSA Withholding	Not approved	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE 100 FLEX	None offered	None offered	Approved for Eligible U.S. Institutions (March 6, 1996 SEC No-Action Letter issued to LIFFE)	None offered



Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
U.K./ICE Futures Europe <sup>16</sup>	FTSE 250 (GBP 2 Multiplier)	Approved for sale to U.S. Persons (January 10, 2014 certification)	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE 250 (Mid-Cap)	Approved for sale to U.S. Persons (July 27, 1994 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE Eurobloc 100	Approved for sale to U.S. Persons (April 5, 2000 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSEurofirst 80	Approved for sale to U.S. Persons (January 22, 2004 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSEurofirst 100	Approved for sale to U.S. Persons (January 22, 2004 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE Eurotop 100	Approved for sale to U.S. Persons (March 10, 2000 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
U.K./ICE Futures Europe <sup>16</sup>	FTSE Eurotop 300	Approved for sale to U.S. Persons (April 5, 2000 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	FTSE Eurotop 300 (ex. U.K.)	Approved for sale to U.S. Persons (April 5, 2000 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	Mini FTSE 100	Approved for sale to U.S. Persons (May 30, 2001 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	MSCI Europe Net Total Return (Euro-denominated) <sup>21</sup>	Approved for sale to U.S. Persons (December 6, 2013 certification)	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered
U.K./ICE Futures Europe <sup>16</sup>	MSCI Pan-Euro	Approved for sale to U.S. Persons (April 6, 2000 CFTC No-Action Letter issued to LIFFE) <sup>3</sup>	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	MSCI World	Approved for sale to U.S. Persons (September 24, 2014 certification)	None offered	None offered	None offered
U.K./ICE Futures Europe <sup>16</sup>	PSI 20	None offered	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) <sup>4</sup>	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
U.K./ICE Futures Europe <sup>16</sup>	Single name equities	Not approved	None offered	Approved for Eligible Options on individual equity securities on specified non-U.S. exchanges <sup>15</sup> for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC)	None offered
U.K./ICE Futures Europe <sup>16</sup>	TOPIX	Approved for sale to U.S. Persons (December 1, 2011 certification)	None offered	None offered	None offered
U.K./London Stock Exchange Derivatives <sup>16</sup>	BIST 30	Approved for sale to U.S. Persons (October 6, 2015 certification)	None offered	Not approved	None offered
U.K./London Stock Exchange Derivatives <sup>16</sup>	FTSE 100	Approved for sale to U.S. Persons (August 28, 2014 certification)	None offered	Approved for Eligible U.S. Institutions (November 12, 2014 Representation Letter from London Stock Exchange to SEC) <sup>4</sup>	None offered
U.K./London Stock Exchange Derivatives <sup>16</sup>	FTSE Russia IOB (FTSE RIOB)	Not approved	None offered	Approved for Eligible U.S. Institutions (November 12, 2014 Representation Letter from London Stock Exchange to SEC)	None offered
U.K./London Stock Exchange Derivatives <sup>16</sup>	FTSE UK Large Cap Super Liquid (FTSE SLQ)	Approved for sale to U.S. Persons (August 28, 2014 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
U.K./London Stock Exchange Derivatives <sup>16</sup>	Single name equities	None offered	None offered	Approved for Eligible U.S. Institutions for Eligible Options on individual equity securities offered by the London Stock Exchange (November 12, 2014 Representation Letter from London Stock Exchange to SEC) (see also Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) <sup>4,5</sup>	None offered
U.K./Turquoise Global Holdings Limited	FTSE 100	Approved for sale to U.S. Persons (June 1, 2012 certification)	None offered	Not approved <sup>4</sup>	None offered
U.K./Turquoise Global Holdings Limited	OMXC20 (formerly KFX)/Flex OMXC20	Not approved	None offered	Approved for Eligible U.S. Institutions (October 29, 2003 SEC No-Action Letter issued to EDX London Exchange)	None offered
U.K./Turquoise Global Holdings Limited	OBX/Flex OBX	Not approved	None offered	Approved for Eligible U.S. Institutions (October 29, 2003 SEC No-Action Letter issued to EDX London Exchange)	None offered

Country/Exchange	Underlying	Futures Contracts	Options on Futures Contracts	Equity Options	ETF Options
U.K./Turquoise Global Holdings Limited	OMXS30 (formerly OMX)/Flex OMXS30	None offered	None offered	Approved for Eligible U.S. Institutions (October 29, 2003 SEC No-Action Letter issued to EDX London Exchange)	None offered
U.K./Turquoise Global Holdings Limited	Single name equities	None offered	None offered	Approved for options on individual Swedish, Norwegian and Danish equities <sup>11</sup> for Eligible U.S. Institutions (October 29, 2003 SEC No-Action Letter issued to EDX London Exchange)	None offered

NOTE: This Chart covers those products and exchanges that are likely to be of greatest interest to market participants in the United States. It is not, therefore, intended to be exhaustive, and is presented without any representation or warranty as to its accuracy, completeness or timeliness. Transmission or receipt of this information does not create an attorney-client relationship with Katten Muchin Rosenman LLP, and the information herein should not be used or relied upon in regard to any particular facts or circumstances without first consulting a lawyer. The United States government administers and enforces sanctions programs and other trade restrictions that may restrict the ability of U.S. persons to engage in financial transactions with specified persons, entities, governments and/or non-state actors (and persons or enterprises associated therewith). These may include, but are not limited to, prohibitions on buying or selling securities, commodities or derivative instruments from or to, or issued by, or through transactions arranged or intermediated by, persons or entities located in or otherwise connected with various non-U.S. jurisdictions included in this Chart. This Chart does not address the potential applicability of such sanctions programs or trade restrictions. This Chart also does not express any opinion as to the potential application of the laws of any jurisdiction other than the United States. Questions regarding the permissibility of trading in products that are not included in this Chart should be addressed to James D. Van De Graaff at +1.312.902.5227, Kevin M. Foley at +1.312.902.5372, Gary A. DeWaal at +1.212.940.6558 or Christian B. Hennion at +1.312.902.5521.

**“Eligible U.S. Institution”**: As used in this Chart, in accordance with SEC no-action letters, the term “Eligible U.S. Institution” means, in general, a U.S. Person that (1) is a “qualified institutional buyer” as defined in Rule 144A(a)(1) under the Securities Act of 1933, and (2) has had prior actual experience in trading U.S.-listed options contracts. For information regarding working definitions of “U.S. Person” as that term is used in this Chart, please contact Katten Muchin Rosenman LLP.

**“Eligible Option”**: As used in this Chart, in accordance with SEC no-action letters, the term “Eligible Option” means an index option or option on an individual security traded on a Foreign Options Market that is not fungible or interchangeable with options traded on any market other than the Foreign Options Market and, accordingly, each position in an Eligible Option issued by a clearing member of the Foreign Options Market can be closed out only on the Foreign Options Market. A “Foreign Options Market” means a non-U.S. derivatives market: (1) on which Eligible Options trade; and (2) that is an organized exchange operated and regulated outside the United States. See LIFFE A&M and Class Relief, SEC No-Action Letter (Jul. 1, 2013) available [here](#).

<sup>1</sup> [Reserved]

<sup>2</sup> The CFTC No-Action Letter also applies to BM&F Bovespa’s “Ibovespa Rollover” and “Forward Points on the Ibovespa” transactions.

<sup>3</sup> The index is included in the CFTC’s and SEC’s joint order dated May 31, 2002, extending the exclusion of such index from the definition of “narrow-based security index” under the Commodity Exchange Act and Securities Exchange Act of 1934 beyond its expiration date of July 11, 2002 (the Joint Order). Foreign futures contracts or options on futures contracts on “narrow-based securities indexes” may not be offered or sold to U.S. Persons without the CFTC and SEC first developing joint regulations, which has not yet been done. Accordingly, the Joint Order effectively allows the stock index futures contracts and options on futures contracts that are based on the security indexes included in the Joint Order, which were granted no-action relief by the CFTC prior to the enactment of the Commodity Futures Modernization Act (CFMA) on December 21, 2000, to continue to be offered and sold to U.S. Persons after July 11, 2002, the date that the exclusion set forth in the CFMA was to expire.

<sup>4</sup> In 2014, LIFFE’s equity and equity index option contracts were migrated to ICE Futures Europe. See [ICE Futures Europe Circular 14/146](#). ICE Futures Europe claimed class relief under the LIFFE A&M and Class Relief SEC No-Action Letter (Jul. 1, 2013) for Foreign Options Markets engaging in familiarization activities with Eligible U.S. Institutions with respect to Eligible Options. See [ICE Futures Europe Class No-Action Relief Letter](#). Subject to certain conditions, ICE Futures Europe members can effect transactions in Eligible Options through trading infrastructure offered by ICE Futures Europe. See [ICE Futures Europe Circular 14/138](#); [ICE Futures Europe Class No-Action Relief Letter](#). ICE Futures Europe maintains a list of Eligible Options, which includes: (1) individual equity options based on the securities of non-U.S. issuers; and (2) index options based on indices that contain no component securities of U.S. issuers. The list of Eligible Options is available in an Excel spreadsheet titled “List of Contract Details for Equity Products” [here](#).

<sup>5</sup> Pursuant to the December 1, 2015 Representation Letter from Eurex to the SEC, Eligible U.S. Institutions may trade options on individual Austrian-, Belgian-, Finnish-, French-, German-, British-, Irish-, Italian-, Dutch-, Russian-, Spanish-, Swedish- and Swiss-issued equities.

<sup>6</sup> Eurex offers a KOSPI product that Eurex describes as a daily futures contract that expires every night, with any net open positions at the end of trading resulting in the establishment of a corresponding position in the Korean Exchange’s KOSPI 200 Options (with strike prices, expiries, put/call and premiums) at the start of the next trading session on the Korean Exchange.

<sup>7</sup> Pursuant to Eurex Circular 281/11, the STOXX Europe 600 Personal & Household Goods futures contract is no longer tradable on Eurex trading terminals in the United States. The previously issued No-Action Letter approving such product for sale to U.S. Persons (February 6, 2008 CFTC No-Action Letter issued to Eurex) has not been withdrawn.

<sup>8</sup> Pursuant to Eurex Circular 260/11, the Euro STOXX Banks futures contract is no longer offered or distributed in the United States. See also Eurex Circular 281/11.

<sup>9</sup> Additional restrictions apply to the trading of these products by U.S. Persons.

<sup>10</sup> [Reserved]

<sup>11</sup> The SEC also has approved for Eligible U.S. Institutions all options on individual Swedish-, Norwegian- and Danish-issued equities where those options are now or in the future listed on the EDX London exchange. Options on equities issued in any other country have not been approved at this time for trading by U.S. Persons on the EDX London Exchange. Note: EDX London Exchange has been acquired by the Turquoise Exchange.

<sup>12</sup> The RDX USD Index futures contracts have not been approved for sale to U.S. Persons. The CFTC approved a similar Eurex contract (RDXxt USD – RDX Extended Index futures contract) for sale to U.S. Persons in a no-action letter issued on March 6, 2008, but Eurex subsequently delisted the contract.

<sup>13</sup> The Istanbul Stock Exchange (ISE) is now part of the Borsa Istanbul (BIST). As such, references to ISE 30 have been changed to BIST 30 on VIOP’s trading platform and the CFTC’s website.

- <sup>14</sup> The London Stock Exchange offers options on depositary receipts on Russian equity products through its International Order Book, which are approved for trading by Eligible U.S. Institutions pursuant to the London Stock Exchange's representation letter dated November 12, 2014 to the SEC. The list of eligible options may be accessed [here](#). Eligible U.S. Institutions may also trade certain of these options through trading infrastructure offered by ICE Futures Europe, provided all applicable conditions are met. See Footnote 4.
- <sup>15</sup> ICE Futures Europe listed the following non-U.S. stock exchanges in its claim for class relief: Borsa Italiana, Copenhagen Stock Exchange, Deutsche Boerse, Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris, Helsinki Stock Exchange, Irish Stock Exchange, London Stock Exchange, London Stock Exchange International Order Book, Madrid Stock Exchange, Oslo Stock Exchange, SIX Swiss Exchange, Stockholm Stock Exchange and Vienna Stock Exchange.
- <sup>16</sup> This exchange has claimed relief under LIFFE A&M and Class Relief SEC No-Action Letter (Jul. 1, 2013) for Foreign Options Markets engaging in familiarization activities with Eligible U.S. Institutions with respect to Eligible Options.
- <sup>17</sup> Euronext Amsterdam listed the following regulated markets elsewhere in Europe for class relief: Euronext Brussels, Euronext Paris, London Stock Exchange, Deutsche Borse, Borsa Italiana, Bolsas y Mercados Espanoles, Swiss Exchange, OMX Stockholm, Oslo Stock Exchange, OMX Copenhagen, Weiner Borse, Irish Stock Exchange and OMX Helsinki.
- <sup>18</sup> Euronext Paris listed the following regulated markets elsewhere in Europe for class relief: Euronext Brussels, Euronext Amsterdam, London Stock Exchange, Deutsche Borse, Borsa Italiana, Bolsas y Mercados Espanoles, Swiss Exchange, OMX Stockholm, Oslo Stock Exchange, OMX Copenhagen, Weiner Borse, Irish Stock Exchange and OMX Helsinki.
- <sup>19</sup> Pursuant to the December 1, 2015 Representation Letter from Eurex to the SEC, Eligible U.S. Institutions may trade options on the following Euro STOXX and STOXX Europe 600 Sector Indices: EURO STOXX Automobiles & Parts; EURO STOXX Banks (*see also* chart above), including weekly options with expiries on 1st, 2nd, 4th and 5th Fridays; EURO STOXX Basic Resources; EURO STOXX Chemicals; EURO STOXX Construction & Materials; EURO STOXX Financial Services; EURO STOXX Food & Beverage; EURO STOXX Health Care; EURO STOXX Industrial Goods & Services; EURO STOXX Insurance; EURO STOXX Media; EURO STOXX Oil & Gas; EURO STOXX Personal & Household Goods; EURO STOXX Real Estate; EURO STOXX Retail; EURO STOXX Technology; EURO STOXX Telecommunications; EURO STOXX Travel & Leisure; EURO STOXX Utilities; STOXX Europe 600 Automobiles & Parts; STOXX Europe 600 Banks (*see also* chart above); STOXX Europe 600 Basic Resources; STOXX Europe 600 Chemicals; STOXX Europe 600 Construction & Materials; STOXX Europe 600 Financial Services; STOXX Europe 600 Food & Beverage; STOXX Europe 600 Health Care; STOXX Europe 600 Industrial Goods & Services (*see also* chart above); STOXX Europe 600 Insurance (*see also* chart above); STOXX Europe 600 Media (*see also* chart above); STOXX Europe 600 Oil & Gas; STOXX Europe 600 Personal & Household Goods (*see also* chart above); STOXX Europe 600 Real Estate; STOXX Europe 600 Retail; STOXX Europe 600 Technology; STOXX Europe 600 Telecommunications; STOXX Europe 600 Travel & Leisure (*see also* chart above); and STOXX Europe 600 Utilities (*see also* chart above).
- <sup>20</sup> Eurex no longer relies on the relief provided in SEC staff's no-action letter dated July 27, 2005. As such, U.S. Persons are prohibited from trading options listed on Eurex that were included in the July 27, 2005 no-action relief but not otherwise included in subsequent no-action relief, including options on the Dow Jones Global Titans 50 index and various ETF products.
- <sup>21</sup> The MSCI Europe Net Total Return (Euro-denominated) Index futures contracts has been approved for sale to U.S. Persons. The CFTC approved a similar MSCI contract (MSCI Euro) for sale to U.S. Persons in a no-action letter issued on April 6, 2000, but ICE Futures Europe subsequently delisted the contract.
- <sup>22</sup> Unless otherwise indicated, a futures contract on an ETF that tracks the same index is not approved for sale to U.S. Persons.
- <sup>23</sup> The futures contract on the Taiwan Futures Exchange Electronic Sector Index previously had been approved for sale to U.S. persons pursuant to a May 16, 2005 CFTC No-Action Letter issued to the Taiwan Futures Exchange. On September 30, 2016, the Taiwan Futures Exchange issued a notice providing that, as of October 1, 2016, the index shall be deemed a narrow-based index and therefore may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.

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