

Foreign Listed Stock Index Futures and Options Approvals

March 25, 2021

Attached please find the updated Foreign Listed Stock Index Futures and Options Approvals Chart, current as of March 25, 2021. All prior versions are superseded and should be discarded. Please note the following developments since we last distributed the Approvals Chart:

1. Montreal Exchange has certified the following futures contracts for trading by U.S. persons: (i) S&P/TSX 60 ESG index futures; and (ii) S&P/TSX Composite ESG index futures.
2. Euronext Paris has certified the Eurozone ESG80 Large index futures contract for trading by U.S. persons.
3. Eurex Exchange has certified the following futures contracts for trading by U.S. persons: (i) DAX 50 ESG (EUR, Price) index futures; (ii) EURO STOXX 50 ESG (EUR, Price) index futures; (iii) MSCI EAFE ESG Screened (USD, NTR) index futures; (iv) MSCI Emerging Markets ESG Screened (USD, NTR) index futures; (v) MSCI Japan ESG Screened (USD, NTR) index futures; (vi) MSCI USA ESG Screened (USD, NTR) index futures; (vii) MSCI World ESG Screened (USD, NTR) index futures; and (viii) STOXX Europe ESG Leaders Select 30 (EUR, Price) index futures.
4. Hong Kong Futures Exchange has certified the following futures contracts for trading by U.S. persons: (i) Hang Seng TECH index futures; (ii) MSCI Australia (USD, NTR) index futures; (iii) MSCI China Free (USD) index futures; (iv) MSCI China Free (USD, NTR) index futures; (v) MSCI Emerging Markets (USD) index futures; (vi) MSCI Emerging Markets Asia ex China (USD, NTR) index futures; (vii) MSCI Emerging Markets Asia ex Korea (USD, NTR) index futures; (viii) MSCI Emerging Markets Asia (USD, NTR) index futures; (ix) MSCI Emerging Markets EMEA (USD, NTR) index futures; (x) MSCI Emerging Markets ex China (USD, NTR) index futures; (xi) MSCI Emerging Markets ex Korea (USD, NTR) index futures; (xii) MSCI Emerging Markets LatAm (USD, NTR) index futures; (xiii) MSCI Emerging Markets (USD, NTR) index futures; (xiv) MSCI Hong Kong (USD, NTR) index futures; (xv) MSCI India (USD) index futures; (xvi) MSCI India (USD, NTR) index futures; (xvii) MSCI Japan (JPY) index futures; (xviii) MSCI Japan (JPY, NTR) index futures; (xix) MSCI Japan (USD, NTR) index futures; (xx) MSCI Malaysia (USD) index futures; (xxi) MSCI Malaysia (USD, NTR) index futures; (xxii) MSCI Pacific ex Japan (USD, NTR) index futures; (xxiii) MSCI Pacific (USD, NTR) index futures; (xxiv) MSCI Singapore Free (SGD) index futures; (xxv) MSCI Singapore Free (USD, NTR) index futures; (xxvi) MSCI Taiwan 25/50 (USD) index futures; (xxvii) MSCI Taiwan 25/50 (USD, NTR) index futures; (xxviii) MSCI Thailand (USD) index futures; and (xxix) MSCI Thailand (USD, NTR) index futures.
5. Borsa Italiana Derivatives Market (IDEM) has certified the FTSE MIB index microfutures contract for trading by U.S. persons.
6. Korea Exchange has notified market participants that, as of July 1, 2020, the KRX 300 index is deemed a narrow-based security index, and as such, futures on the KRX 300 index are now available for trading by U.S. Eligible Institutions only in accordance with applicable requirements of both the SEC and the CFTC.

7. National Stock Exchange of India has notified the SEC of its intent to rely on the applicable class no-action relief for foreign options markets and their members that engage in familiarization activities with respect to eligible options. National Stock Exchange of India has specified the following as eligible options: (i) the Nifty 50 options contract; and (ii) the Nifty Bank options contract.
8. Singapore Exchange Derivatives Trading has certified the following futures contracts for trading by U.S. persons: (i) FTSE Asia ex Japan index futures; (ii) FTSE Asia ex Japan (USD, NTR) index futures; (iii) FTSE Asia ex Japan ESG index futures; (iv) FTSE Blossom Japan index futures; (v) FTSE China H50 index futures; (vi) FTSE Emerging Asia ESG index futures; (vii) FTSE Emerging ESG index futures; (viii) FTSE Emerging Markets index futures; (ix) FTSE Emerging Markets (USD, NTR) index futures; (x) FTSE Emerging Markets Asia index futures; (xi) FTSE EPRA Nareit Asia ex Japan index futures; (xii) FTSE Japan (USD, NTR) index futures; (xiii) FTSE Malaysia index futures; (xiv) FTSE Malaysia (USD, NTR) index futures; (xv) FTSE Taiwan index futures; (xvi) FTSE Thailand index futures; (xvii) FTSE Thailand (USD, NTR) index futures; (xviii) iEdge Australia REIT index futures; and (xix) iEdge S-REIT Leaders index futures.
9. Taiwan Futures Exchange has certified the following futures contracts for trading by U.S. persons: (i) FTSE 100 index futures; and (ii) TIP Taiwan Market Biotechnology and Medical Care index futures. In addition, Taiwan Futures Exchange has notified market participants that, as of April 1, 2021, the Taipei Exchange Capitalization Weighted Stock Index (TAIEX) is deemed a narrow-based security index, and as such, futures and mini futures on the TAIEX are now available for trading by U.S. Eligible Institutions only in accordance with applicable requirements of both the SEC and the CFTC.

Additional products that are made available for trading by U.S. persons after March 25, 2021 will be addressed in a subsequent version of this Approvals Chart. Please refer to the websites of the CFTC, the SEC and the applicable exchanges for more information in the interim.

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:

Kevin M. Foley	+1.312.902.5372	kevin.foley@katten.com
Gary A. DeWaal	+1.212.940.6558	gary.dewaal@katten.com
Daniel J. Davis	+1.202.625.3644	daniel.davis@katten.com
Christian B. Hennion	+1.312.902.5521	christian.hennion@katten.com
Carl E. Kennedy	+1.212.940.8544	carl.kennedy@katten.com
James M. Brady	+1.312.902.5362	james.brady@katten.com

Foreign Listed Stock Index Futures and Options Approvals

(March 25, 2021)

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Australia/ASX	Mini SPI 200	Approved for sale to U.S. Persons (November 16, 2015 certification)	None offered	None offered	None offered
Australia/ASX	S&P/ASX 50	None offered	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 (November 13, 2000 No-Action Letter issued to SFE) (Listed as SPI 200 futures)	Approved for sale to U.S. Persons (November 13, 2000 No-Action Letter issued to SFE) (Listed as options on SPI 200 futures)	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	None offered	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Belgium/Euronext Brussels ²	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) ³	None offered
Belgium/Euronext Brussels ²	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) (<i>see also</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) ^{3, 4}	None offered
Brazil/B3 S.A.	FTSE/JSE Top 40	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/B3 S.A.	Hang Seng	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/B3 S.A.	Ibovespa	Approved for sale to U.S. Persons (August 26, 2009 No-Action Letter issued to BM&F Bovespa S.A.) ⁵	None offered	Not approved	Not approved
Brazil/B3 S.A.	IBrX 50	Approved for sale to U.S. Persons (May 24, 2016 certification)	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Brazil/B3 S.A.	MICEX	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Brazil/B3 S.A.	Micro S&P 500	Approved for sale to U.S. Persons (December 18, 2018 certification)	None offered	None offered	None offered
Brazil/B3 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/B3 S.A.	Nikkei 225	Approved for sale to U.S. Persons (December 6, 2019 certification)	None offered	None offered	None offered
Brazil/B3 S.A.	S&P 500	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
Brazil/B3 S.A.	S&P BSE SENSEX	Approved for sale to U.S. Persons (March 12, 2013 certification)	None offered	None offered	None offered
Canada/Montreal Exchange (Bourse de Montréal)	FTSE Emerging Markets Index	Approved for sale to U.S. Persons (March 21, 2014 certification)	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> Canada/Montreal Exchange – single name equities)

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Canada/Montreal Exchange (Bourse de Montréal)	iShares S&P/TSX Capped Energy	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 Canada/Montreal Exchange – single name equities)
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 Canada/Montreal Exchange – single name equities)
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 Canada/Montreal Exchange – single name equities)
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 Canada/Montreal Exchange – single name equities)
Canada/Montreal Exchange (Bourse de Montréal)	S&P/MX International Cannabis Index	Approved for sale to U.S. Persons (January 9, 2020 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
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) ⁶	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 (<i>but see</i> iShares S&P/TSX 60)
Canada/Montreal Exchange (Bourse de Montréal)	S&P/TSX 60 ESG	Approved for sale to U.S. Persons (November 7, 2020 certification)	None offered	None offered	None offered
Canada/Montreal Exchange (Bourse de Montréal)	S&P/TSX 60 Mini	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 Capped Sector	Not approved	None offered	Approved for U.S. Persons generally pursuant to Registration Statement (<i>see</i> S&P/TSX 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)	S&P/TSX Composite ESG	Approved for sale to U.S. Persons (November 7, 2020 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Canada/Montreal Exchange (Bourse de Montréal)	Single name equities	Not approved	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 (see also Hong Kong and Taiwan)/China Financial Futures Exchange	CSI 300 Index Futures	Not approved	None offered	None offered	None offered
Denmark/Nasdaq Copenhagen	Single name equities	None offered	None offered	Not approved (but see U.K./ICE Futures Europe – Single name equities; U.K./London Stock Exchange Derivatives) ^{3, 7}	None offered
Finland/Nasdaq Helsinki	Single name equities	None offered	None offered	Not approved (but see Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) ^{3, 4}	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
France/Euronext Paris S.A. ²	CAC 40	Approved for sale to U.S. Persons (December 17, 1991 No-Action Letter issued to ParisBourse) ⁶	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) ³	See France/Euronext Paris S.A. – exchange-traded funds
France/Euronext Paris S.A. ²	CAC 40 Mini	Approved for sale to U.S. Persons (September 13, 2013 certification)	None offered	None offered	See France/Euronext Paris S.A. – exchange-traded funds
France/Euronext Paris S.A. ²	Eurozone ESG80 Large Index	Approved for sale to U.S. Persons (July 11, 2020 certification)	None offered	None offered	See France/Euronext Paris S.A. – exchange-traded funds
France/Euronext Paris S.A. ²	Exchange-traded funds	None offered	None offered	None offered	Approved for Eligible U.S. Institutions for Eligible Options on ETFs that are listed and traded on Euronext Paris or other regulated markets in Europe, and do not include component stocks that are U.S. underlying stocks (September 17, 2014 Representation Letter from Euronext Paris to SEC)
France/Euronext Paris S.A. ²	FTSE EPRA/NAREIT Euro Zone	Not approved ⁸	None offered	None offered	See France/Euronext Paris S.A. – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
France/Euronext Paris S.A. ²	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	See France/Euronext Paris S.A. – exchange-traded funds
France/Euronext Paris S.A. ²	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	None offered	See France/Euronext Paris S.A. – exchange-traded funds
France/Euronext Paris S.A. ²	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 ³	See France/Euronext Paris S.A. – exchange-traded funds
France/Euronext Paris S.A. ²	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 regulated markets in Europe (September 17, 2014 Representation Letter from Euronext Paris to SEC) (see also Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities) ^{3,4}	See France/Euronext Paris S.A. – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Börse Frankfurt	Single name equities	None offered	None offered	Not approved (<i>but see Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities</i>) ^{3,4}	None offered
Germany/Eurex ²	ATX	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	CECE EUR	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	DAX	Approved for sale to U.S. Persons (December 20, 1994 CFTC No-Action Letter issued to Deutsche Terminborse) ^{6, 9}	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)	Not approved
Germany/Eurex ²	DAX 50 ESG Price (EUR)	Approved for sale to U.S. Persons (December 4, 2020 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	DivDAX	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	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 ²	EURO STOXX 50	Approved for sale to U.S. Persons (April 6, 2000 CFTC No-Action Letter issued to Eurex) ^{6, 9}	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 approved
Germany/Eurex ²	EURO STOXX 50 Corporate Bond Index (EUR)	Approved for sale to U.S. Persons (September 29, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	EURO STOXX 50 Dividend ¹⁰	Not required to be approved	None offered	Not approved	None offered
Germany/Eurex ²	EURO STOXX 50 ESG Price (EUR)	Approved for sale to U.S. Persons (December 4, 2020 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	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 ²	EURO STOXX 50 Low Carbon	Approved for sale to U.S. Persons (March 18, 2019 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	EURO STOXX 50 Quanto	Approved for sale to U.S. Persons (March 21, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	EURO STOXX 50 Total Return	Approved for sale to U.S. Persons (March 9, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	EURO STOXX 50 Variance	Approved for sale to U.S. Persons (November 15, 2014 certification)	None offered	None offered	None offered
Germany/Eurex ²	EURO STOXX 50 Volatility (VSTOXX)	Approved for sale to U.S. Persons (July 20, 2012 certification)	Approved for sale to U.S. Persons (July 20, 2012 certification)	None offered	None offered
Germany/Eurex ²	EURO STOXX Banks	Not approved ¹¹	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) ¹²	None offered
Germany/Eurex ²	EURO STOXX Banks Dividend ¹⁰	Not required to be approved	None offered	None offered	None offered
Germany/Eurex ²	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 ²	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

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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	EURO STOXX Select Dividend 30 ¹⁰	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 ²	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 ²	iSTOXX Europe Carry Factor	Approved for sale to U.S. Persons (July 5, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	iSTOXX Europe Low Risk Factor Net Return (EUR)	Approved for sale to U.S. Persons (July 5, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	iSTOXX Europe Momentum Factor Net Return (EUR)	Approved for sale to U.S. Persons (July 5, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	iSTOXX Europe Quality Factor Net Return (EUR)	Approved for sale to U.S. Persons (July 5, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	iSTOXX Europe Size Factor Net Return (EUR)	Approved for sale to U.S. Persons (July 5, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	iSTOXX Europe Value Factor Net Return (EUR)	Approved for sale to U.S. Persons (July 5, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	KOSPI 200 Options	Daily futures not approved	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	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 ²	Mini DAX	Approved for sale to U.S. Persons (October 22, 2015 certification)	None offered	None offered	None offered
Germany/Eurex ²	Mini KOSPI 200 Futures	Not approved	None offered	None offered	None offered
Germany/Eurex ²	MSCI AC ASEAN Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI AC Asia ex-Japan Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI AC Asia Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI AC Asia Pacific	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI AC Asia Pacific ex-Japan	Approved for sale to U.S. Persons (June 17, 2013 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI ACWI ex US	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI ACWI Net Total Return (EUR)	Approved for sale to U.S. Persons (November 28, 2016 certification)	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI ACWI (USD) (FMAC)	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI Australia	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Canada Gross Total Return (USD)	Approved for sale to U.S. Persons (March 28, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Canada Net Total Return (USD)	Approved for sale to U.S. Persons (March 28, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI China Free	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI EAFE Dividend ¹⁰	Not required to be approved	None offered	None offered	None offered
Germany/Eurex ²	MSCI EAFE ESG Screened Net Total Return (USD)	Approved for sale to U.S. Persons (May 8, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI EAFE Net Total Return (USD)	Approved for sale to U.S. Persons (July 3, 2017 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	MSCI EAFE Price Index (USD)	Approved for sale to U.S. Persons (July 3, 2017 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI Emerging Markets	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Not approved	Not approved
Germany/Eurex ²	MSCI Emerging Markets Asia	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI Emerging Markets Dividend ¹⁰	Not required to be approved	None offered	None offered	None offered
Germany/Eurex ²	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 ²	MSCI Emerging Markets EMEA ex Turkey Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Emerging Markets EMEA Latin America ex Brazil Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Emerging Markets ESG Screened Net total Return (USD)	Approved for sale to U.S. Persons (May 8, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Emerging Markets Growth Net Total Return (USD)	Approved for sale to U.S. Persons (August October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Emerging Markets Latin America	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI Emerging Markets Net Total Return (EUR)	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	Not approved
Germany/Eurex ²	MSCI Emerging Markets Price Index	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI Emerging Markets Value Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI EMU Gross Total Return (EUR)	Approved for sale to U.S. Persons (November 28, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI EMU Growth Net Total Return (EUR)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI EMU (EUR) (FMMU)	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI EMU Value Net Total Return (EUR)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Europe ex UK	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Europe ex-Switzerland	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Europe Gross Total Return (EUR)	Approved for sale to U.S. Persons (November 28, 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI Europe Gross Total Return (USD)	Approved for sale to U.S. Persons (November 28, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	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 ²	MSCI Europe Net Total Return (EUR)	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 ²	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 ²	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 ²	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 ²	MSCI France Gross Total Return (EUR)	Approved for sale to U.S. Persons (March 28, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI France Net Total Return (EUR)	Approved for sale to U.S. Persons (March 28, 2017 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI Frontier Markets Index	Approved for sale to U.S. Persons (July 14, 2014 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Hong Kong	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI India	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Indonesia	Not approved ²³	None offered	None offered	None offered
Germany/Eurex ²	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 ²	MSCI Japan Net Total Return (JPY)	Approved for sale to U.S. Persons (January 1, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Japan Net Total Return (USD)	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 ²	MSCI Japan ESG Screened Net Total Return (USD)	Approved for sale to U.S. Persons (May 8, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Kokusai Gross Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Kokusai 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI Malaysia	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Mexico	Not approved ²⁶	None offered	None offered	None offered
Germany/Eurex ²	MSCI North America Gross Total Return (USD)	Approved for sale to U.S. Persons (March 28, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI North America Net Total Return (USD)	Approved for sale to U.S. Persons (March 28, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Pacific ex Japan	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Pacific Gross Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI Pacific Net Total Return	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	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 ²	MSCI Saudi Arabia Net Total Return (USD)	Approved for sale to U.S. Persons (February 25, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI South Africa Net Total Return (USD)	Not approved ²⁶	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI Thailand	Approved for sale to U.S. Persons (February 4, 2014 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI United Kingdom (GBP) (FMUK)	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI United Kingdom Net Total Return (USD)	Approved for sale to U.S. Persons (November 28, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA Equal Weighted	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA ESG Screened Net Total Return (USD)	Approved for sale to U.S. Persons (May 5, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA Gross Total Return (USD)	Approved for sale to U.S. Persons (November 28, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA Momentum	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA (USD) (FMUS)	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA Quality	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI USA Value Weighted	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI World Communication Services Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Consumer Discretionary Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Consumer Staples Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Dividend ¹⁰	Not required to be approved	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Energy Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World ESG Screened Net Total Return (USD)	Approved for sale to U.S. Persons (May 8, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Financials Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Health Care Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Industrials Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World IT Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI World Materials Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Real Estate Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Utilities Net Total Return (USD)	Approved for sale to U.S. Persons (February 4, 2020 certification)	None offered	None offered	None Offered
Germany/Eurex ²	MSCI World Gross Total Return (EUR)	Approved for sale to U.S. Persons (November 28, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI World Gross Total Return (USD)	Approved for sale to U.S. Persons (November 28, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI World Growth Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI World MidCap	Approved for sale to U.S. Persons (August 4, 2016 certification)	None offered	None offered	None offered
Germany/Eurex ²	MSCI World Net Total Return (EUR)	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI World Net Total Return (GBP)	Approved for sale to U.S. Persons (January 10, 2020 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI World Net Total Return (USD)	Approved for sale to U.S. Persons (June 17, 2013 certification)	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	MSCI World Price Index	Approved for sale to U.S. Persons (March 31, 2015 certification)	None offered	Not approved	None offered
Germany/Eurex ²	MSCI World Value Net Total Return (USD)	Approved for sale to U.S. Persons (October 2, 2017 certification)	None offered	None offered	None offered
Germany/Eurex ²	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 ²	RDX USD ¹³	Not approved	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	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) ⁴	None offered
Germany/Eurex ²	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

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	STOXX Europe 50	Approved for sale to U.S. Persons (April 6, 2000 CFTC No-Action Letter issued to Eurex) ⁶	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered
Germany/Eurex ²	STOXX Europe 600	Approved for sale to U.S. Persons (June 4, 2012 certification; see also 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)	Not approved
Germany/Eurex ²	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) ¹²	None offered
Germany/Eurex ²	STOXX Europe 600 ESG-X (EUR)	Approved for sale to U.S. Persons (March 18, 2019 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) ¹²	None offered
Germany/Eurex ²	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) ¹²	None offered
Germany/Eurex ²	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) ¹²	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	STOXX Europe 600 Media	Not approved ²²	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) ¹²	None offered
Germany/Eurex ²	STOXX Europe 600 Personal & Household Goods	Not approved ¹⁴	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) ¹²	None offered
Germany/Eurex ²	STOXX Europe 600 Travel & Leisure	Not approved ²⁷	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC) ¹²	None offered
Germany/Eurex ²	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) ¹²	None offered
Germany/Eurex ²	STOXX Europe Climate Impact Ex Global Compact Controversial Weapons & Tobacco	Approved for sale to U.S. Persons (March 18, 2019 certification)	None offered	None offered	None offered
Germany/Eurex ²	STOXX Europe ESG Leaders Select 30 Price (EUR)	Approved for sale to U.S. Persons (December 4, 2020 certification)	None offered	Approved for Eligible U.S. Institutions (December 1, 2015 Representation Letter from Eurex to SEC)	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	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 ²	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 ²	STOXX Europe Select 50	Approved for sale to U.S. Persons (March 18, 2019 certification)	None offered	Not approved	None offered
Germany/Eurex ²	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 ²	STOXX Global Select Dividend 100 ¹⁰	Approved for sale to U.S. Persons (February 2, 2016 certification)	None offered	Not approved	None offered
Germany/Eurex ²	STOXX USA 500 ESG-X Price Index (USD)	Approved for sale to U.S. Persons (March 19, 2020 certification)	None offered	None offered	None offered
Germany/Eurex ²	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 ¹⁵

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Germany/Eurex ²	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 ²	TA-35	Approved for sale to U.S. Persons (July 14, 2014 certification)	None offered	None offered	None offered
Germany/Eurex ²	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
Germany/Eurex ²	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) ¹²	None offered
Germany/Eurex ²	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) ¹²	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	CES China 120	Approved for sale to U.S. Persons (September 17, 2013 certification)	None offered	None offered	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	DJIA	None offered	None offered	None offered	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	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, including weekly options (August 24, 2015 Representation Letter from Hong Kong Futures Exchange Limited to SEC)	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	Hang Seng	Approved for sale to U.S. Persons (June 1, 1994 CFTC No-Action Letter issued to HKFE) ⁶	None offered	Approved for Eligible U.S. Institutions, including weekly options (August 24, 2015 Representation Letter from Hong Kong Futures Exchange Limited to SEC; September 26, 1995 SEC No-Action Letter issued to HKFE)	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	Hang Seng TECH	Approved for sale to U.S. Persons (December 21, 2020 certification)	None offered	Not approved	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	HSCEI Dividend Point Index ¹⁰	Not required to be approved	None offered	None offered	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	HSI Volatility Index (VHSI)	Approved for sale to U.S. Persons (September 17, 2013 certification)	None offered	None offered	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	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)	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	Mini Hang Seng China Enterprises	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)	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI AC Asia ex Japan Net Total Return	Approved for sale to U.S. Persons (July 27, 2018 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Australia Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI China Free (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI China Free Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets Asia ex China Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets Asia ex Korea Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets Asia Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets EMEA Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets ex China Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets ex Korea Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets LatAm Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Emerging Markets Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Hong Kong Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI India (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI India Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Japan (JPY)	Approved for sale to U.S. Persons (October 9, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Japan Net Total Return (JPY)	Approved for sale to U.S. Persons (October 9, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Japan Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Malaysia (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Malaysia Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Pacific ex Japan Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Pacific Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Singapore Free Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Singapore Free (SGD)	Approved for sale to U.S. Persons (October 9, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Thailand (USD)	Approved for sale to U.S. Persons (July 16, 2020 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Thailand Net Total Return (USD)	Approved for sale to U.S. Persons (July 16, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Taiwan 25/50 (USD)	Approved for sale to U.S. Persons (October 3, 2020 certification)	None offered	None offered	None offered
Hong Kong/Hong Kong Exchanges and Clearing Ltd. (HKEX) ²	MSCI Taiwan 25/50 Net Total Return (USD)	Approved for sale to U.S. Persons (October 3, 2020 certification)	None offered	None offered	None offered
Hong Kong/The Stock Exchange of Hong Kong Limited (SEHK) ²	Exchange-traded funds	None offered	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)
Hong Kong/The Stock Exchange of Hong Kong Limited (SEHK) ²	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)	See Hong Kong/The Stock Exchange of Hong Kong Limited – exchange-traded funds
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) ¹⁶	Approved for sale to U.S. Persons (June 14, 2006 CFTC No-Action Letter issued to BSE)	None offered	Not approved	None offered
India/India International Exchange (INX)	S&P BSE Sensex	Pending approval	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
India/India International Exchange (INX)	S&P BSE Sensex 50	Pending approval	None offered	Not approved	None offered
India/National Stock Exchange of India Ltd. (NSE)	Bank Nifty ¹⁶	Not approved	None offered	Approved for Eligible U.S. Institutions (December 21, 2020 Representation Letter from NSE to SEC)	None offered
India/National Stock Exchange of India Ltd. (NSE)	CNX Nifty IT ¹⁶	Not approved	None offered	Not approved	None offered
India/National Stock Exchange of India Ltd. (NSE)	S&P CNX Nifty (“Nifty 50”) ¹⁶	Approved for sale to U.S. Persons (October 17, 2003 CFTC No-Action Letter issued to NSE)	None offered	Approved for Eligible U.S. Institutions (December 21, 2020 Representation Letter from NSE to SEC)	None offered
India/National Stock Exchange of India Ltd. International Financial Services Center (NSE International Exchange)	Nifty 50	Approved for sale to U.S. Persons (April 18, 2019 certification)	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) ^{3,4}	None offered
Israel/Tel Aviv Stock Exchange	TA Banks-5	Not approved	None offered	Not approved	None offered
Israel/Tel Aviv Stock Exchange	TA-35	Not approved	None offered	Not approved	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Istanbul/Borsa Istanbul (BIST)	BIST-30	Approved for sale to U.S. Persons (August 17, 2010 No-Action Letter issued to the Turkish Derivatives Exchange)	None offered	Not approved	None offered
Italy/Borsa Italiana – IDEM ²	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 ²	FTSE MIB (Microfutures)	Approved for sale to U.S. Persons (February 16, 2021 certification)	None offered	None offered	None offered
Italy/Borsa Italiana – IDEM ²	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Italy/Borsa Italiana – IDEM ²	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) ^{3,4}	None offered
Japan/Osaka Exchange (OSE) ²	DJIA	Approved for sale to U.S. Persons (June 15, 2012 certification)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) ²	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) ²	Mini Nikkei 225	Approved for sale to U.S. Persons (July 10, 2006 CFTC No-Action Letter issued to OSE) ⁶	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) ²	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

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Japan/Osaka Exchange (OSE) ²	Nikkei 225 (Nikkei Stock Average)	Approved for sale to U.S. Persons (January 16, 1992 CFTC No-Action Letter issued to OSE) ⁶	None offered	Approved for Eligible U.S. Institutions (March 14, 2014 Representation Letter from TSE and OSE to SEC; see also July 23, 1999 SEC No-Action Letter issued to OSE)	None offered
Japan/Osaka Exchange (OSE) ²	Nikkei 225 Dividend ¹⁰	Not required to be approved	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) ²	Nikkei Stock Average Volatility (Nikkei 225 VI)	Approved for sale to U.S. Persons (March 9, 2012 certification)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) ²	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) ²	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

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Japan/Osaka Exchange (OSE) ²	Tokyo Stock Exchange Mothers Index	Approved for sale to U.S. Persons (July 12, 2016 certification)	None offered	None offered	None offered
Japan/Osaka Exchange (OSE) ²	Tokyo Stock Exchange REIT	Approved for sale to U.S. Persons (November 9, 2009 CFTC No-Action Letter issued to TSE)	None offered	Not approved	None offered
Japan/Osaka Exchange (OSE) ²	TOPIX	Approved for sale to U.S. Persons (January 16, 1992 CFTC No-Action Letter issued to TSE) ⁶	None offered	Approved for Eligible U.S. Institutions (March 14, 2014 Representation Letter from TSE and OSE to SEC; see also July 27, 1999 SEC No-Action Letter issued to TSE)	None offered
Japan/Osaka Exchange (OSE) ²	TOPIX Banks	Not approved	None offered	Not approved	None offered
Japan/Osaka Exchange (OSE) ²	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
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)	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	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. ²	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) ³	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. ²	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. ²	Amsterdam Mid-Kap (AMX)	Not approved	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Netherlands/Euronext Amsterdam Derivatives Markets N.V. ²	Exchange-traded funds	None offered	None offered	None offered	Approved for Eligible U.S. Institutions for Eligible Options on ETFs that are listed and traded on Euronext Amsterdam or other regulated markets in Europe, and do not include component stocks that are U.S. underlying stocks (September 17, 2014 Representation Letter from Euronext Amsterdam to SEC)
Netherlands/Euronext Amsterdam Derivatives Markets N.V. ²	FTSE Eurotop 100	None offered	None offered	None offered	See Netherlands/Euronext Amsterdam Derivatives Markets N.V. – exchange-traded funds
Netherlands/Euronext Amsterdam Derivatives Markets N.V. ²	Morningstar Eurozone 50	Approved for sale to U.S. Persons (March 20, 2018 certification)	None offered	None offered	None offered
Netherlands/Euronext Amsterdam Derivatives Markets N.V. ²	PSI 20	None offered (<i>but see Euronext Lisbon</i>)	None offered	Not approved ³	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Netherlands/Euronext Amsterdam Derivatives Markets N.V. ²	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 regulated markets in Europe (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) ^{3,4}	None offered
Norway/Oslo Stock Exchange	OBX	Not approved	None offered	Not approved	None offered
Norway/Oslo Stock Exchange	Single name equities	Not approved	None offered	Not approved (<i>but see</i> U.K./ICE Futures Europe – Single name equities; U.K./London Stock Exchange Derivatives ² – Single name equities) ^{3,7}	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) ³	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) ³	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
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 ^{3,4}	-
Russia/Moscow Exchange (Moscow Interbank Currency Exchange and Russian Trading System Stock Exchange)	MOEX Russia Index	Pending approval	Not approved	None offered	None offered
Russia/Moscow Exchange (Moscow Interbank Currency Exchange and Russian Trading System Stock Exchange)	RTS Index	Pending approval	Not approved	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Asia ex Japan	Approved for sale to U.S. Persons (September 7, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Asia ex Japan ESG	Approved for sale to U.S. Persons (January 11, 2021 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Asia ex Japan Net Total Return (USD)	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Blossom Japan	Approved for sale to U.S. Persons (October 9, 2020 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE 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)	FTSE China H50	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Emerging Asia ESG	Approved for sale to U.S. Persons (January 11, 2021 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Emerging Markets	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Emerging Markets Asia	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Emerging Markets Net Total Return (USD)	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Emerging ESG	Approved for sale to U.S. Persons (October 9, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE EPRA Nareit Asia ex Japan	Approved for sale to U.S. Persons (August 17, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Japan Net Total Return (USD)	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Malaysia	Approved for sale to U.S. Persons (August 23, 2020 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Malaysia Net Total Return (USD)	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Taiwan	Approved for sale to U.S. Persons (July 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Thailand	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	FTSE Thailand Net Total Return (USD)	Approved for sale to U.S. Persons (August 23, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	iEdge Australia REIT	Approved for sale to U.S. Persons (August 17, 2020 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	iEdge S-REIT Leaders	Approved for sale to U.S. Persons (August 17, 2020 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 China Free Net Total Return (USD)	Approved for sale to U.S. Persons (June 12, 2017 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI India Net Total Return (USD)	Approved for sale to U.S. Persons (June 12, 2017 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Malaysia	Approved for sale to U.S. Persons (November 25, 2014 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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Malaysia Net Total Return (USD)	Approved for sale to U.S. Persons (May 15, 2018 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) ⁶	Approved for sale to U.S. Persons (June 21, 2000 CFTC No-Action Letter issued to SGX-DT) ⁶	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	MSCI Singapore Free Net Total Return (USD)	Not approved	None offered	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)	Nikkei 225 (JPY)	Approved for sale to U.S. Persons (December 5, 1986 CFTC No-Action Letter issued to SIMEX) ⁶	Approved for sale to U.S. Persons (December 5, 1986 CFTC No-Action Letter issued to SIMEX) ⁶	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 225 Total Return	Approved for sale to U.S. Persons (April 4, 2019 certification)	None offered	None offered	None offered
Singapore/Singapore Exchange Derivatives Trading Ltd. (SGX-DT)	Straits Times (STI)	Not approved	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
South Africa/JSE/SAFEX	ALSI/FTSE JSE 40 (ALSI)	Approved for sale to U.S. Persons (June 28, 2002 CFTC No-Action Letter issued to SAFEX)	None offered	Not approved	None offered
South Africa/JSE/SAFEX	FTSE/JSE Shareholder Weighted Top 40 (DTOP)	Not approved	None offered	Not approved	None offered
South Korea/Korea Exchange	KOSDAQ 150	Approved for sale to U.S. Persons (March 14, 2019 certification)	None offered	Approved for Eligible U.S. Institutions (September 18, 2018 Representation Letter from Korea Exchange to SEC)	None offered
South Korea/Korea Exchange	KOSPI 200	Not approved ²⁵	None offered	Approved for Eligible U.S. Institutions (September 18, 2018 Representation Letter from Korea Exchange to SEC)	None offered
South Korea/Korea Exchange	KRX 300	Not approved ²⁵	None offered	None offered	None offered
South Korea/Korea Exchange	Mini KOSPI 200	Not approved ²⁵	None offered	Approved for Eligible U.S. Institutions (September 18, 2018 Representation Letter from Korea Exchange to SEC)	None offered
South Korea/Korea Exchange	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions (September 18, 2018 Representation Letter from Korea Exchange to SEC)	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Spain/MEFF	IBEX 35	Approved for sale to U.S. Persons (August 8, 1994 CFTC No-Action Letter issued to MEFF) ⁶	None offered	Not approved	None offered
Spain/MEFF	IBEX 35 Mini	Approved for sale to U.S. Persons (June 7, 2012 certification)	None offered	None offered	None offered
Spain/MEFF	Micro IBEX 35	Approved for sale to U.S. Persons (December 20, 2018)	None offered	None offered	None offered
Spain/MEFF	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) ^{3,4}	None offered
Sweden/Nasdaq Stockholm	Exchange-traded funds	None offered	None offered	None offered	Approved for Eligible U.S. Institutions (January 15, 2020 Representation Letter from Nasdaq Stockholm to SEC)
Sweden/Nasdaq Stockholm	OMXC25	Approved for sale to U.S. Persons (August 14, 2018 certification)	None offered	Approved for Eligible U.S. Institutions (January 15, 2020 Representation Letter from Nasdaq Stockholm to SEC)	See Sweden/Nasdaq Stockholm – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Sweden/Nasdaq Stockholm	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)) ⁶	None offered	Not approved	See Sweden/Nasdaq Stockholm – exchange-traded funds
Sweden/Nasdaq Stockholm	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions (January 15, 2020 Representation Letter from Nasdaq Stockholm to SEC) (<i>see also</i> Germany/Eurex – Single name equities; U.K./ICE Futures Europe – Single name equities; U.K./London Stock Exchange Derivatives ² – Single name equities) ^{3,4,7}	See Sweden/Nasdaq Stockholm – exchange-traded funds
Sweden/Nasdaq Stockholm	VINX30	Approved for sale to U.S. Persons (November 13, 2007 CFTC No-Action Letter issued to OMX Stockholm)	None offered	Not approved	See Sweden/Nasdaq Stockholm – exchange-traded funds
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) ^{3,4}	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Taiwan/Taiwan Futures Exchange ²	DJIA	Approved for sale to U.S. Persons (May 9, 2017 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Electronic Sector	Not approved ¹⁷	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Exchange-traded funds	Not approved	None offered	None offered	Approved for Eligible U.S. Institutions for Eligible Options on ETFs that are listed and traded on TWSE or TPEX or track indices, which are based on stocks listed on Taiwan or China stock markets, but in any case, do not include component stocks that are U.S. underlying stocks (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)
Taiwan/Taiwan Futures Exchange ²	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)	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	FTSE 100	Approved for sale to U.S. Persons (November 10, 2020 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Taiwan/Taiwan Futures Exchange ²	FTSE TSEC Taiwan 50	Not approved	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Mini Taipei Exchange Capitalization Weighted Stock Index (TAIEX)	Not approved ²⁸	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Nasdaq-100	Approved for sale to U.S. Persons (October 30, 2019 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Nifty 50	Approved for sale to U.S. Persons (November 8, 2016 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	S&P 500	Approved for sale to U.S. Persons (May 9, 2017 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Single name equities	Not approved	None offered	Approved for Eligible U.S. Institutions for Eligible Options on individual stock listed on the Taiwan Stock Exchange Corporation (TWSE) or the Taipei Exchange (TPEX), and meet the stock selection criteria established by the Taiwan Futures Exchange (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	See Taiwan/Taiwan Futures Exchange – exchange-traded funds

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
Taiwan/Taiwan Futures Exchange ²	TAIEX	Not approved ²⁸	None offered	Approved for Eligible U.S. Institutions (February 2, 2016 Representation Letter from Taiwan Futures Exchange to SEC)	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	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)	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	TIP Taiwan Market Biotechnology and Medical Care	Approved for sale to U.S. Persons (January 14, 2021 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	TPEX 200	Approved for sale to U.S. Persons (September 23, 2019 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
Taiwan/Taiwan Futures Exchange ²	Tokyo Stock Price Index (TOPIX)	Approved for sale to U.S. Persons (July 26, 2016 certification)	None offered	None offered	See Taiwan/Taiwan Futures Exchange – exchange-traded funds
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) ¹⁸	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
U.K./ICE Futures Europe ²	AEX	Not approved	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) ³	None offered
U.K./ICE Futures Europe ²	BEL 20	Not approved	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) ³	None offered
U.K./ICE Futures Europe ²	CAC 40	Not approved	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) ³	None offered
U.K./ICE Futures Europe ²	FTSE 100	Approved for sale to U.S. Persons (January 16, 1990 CFTC No-Action Letter issued to LIFFE) ⁶	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) ³	None offered
U.K./ICE Futures Europe ²	FTSE 100 Dividend - RDSA Withholding ¹⁰	Not required to be approved	None offered	None offered	None offered
U.K./ICE Futures Europe ²	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 ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
U.K./ICE Futures Europe ²	FTSE 250 (GBP 2 Multiplier)	Approved for sale to U.S. Persons (January 10, 2014 certification)	None offered	None offered	None offered
U.K./ICE Futures Europe ²	FTSEurofirst 80	Approved for sale to U.S. Persons (January 22, 2004 CFTC No-Action Letter issued to LIFFE) ⁶	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) ³	None offered
U.K./ICE Futures Europe ²	FTSEurofirst 100	Approved for sale to U.S. Persons (January 22, 2004 CFTC No-Action Letter issued to LIFFE) ⁶	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) ³	None offered
U.K./ICE Futures Europe ²	Mini FTSE 100	Approved for sale to U.S. Persons (May 30, 2001 CFTC No-Action Letter issued to LIFFE) ⁶	None offered	None offered	None offered
U.K./ICE Futures Europe ²	MSCI Brazil	Approved for sale to U.S. Persons (June 29, 2018 certification)	None offered	None offered	None offered
U.K./ICE Futures Europe ²	MSCI Europe (EUR) ¹⁹	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) ³	None offered
U.K./ICE Futures Europe ²	MSCI India	Approved for sale to U.S. Persons (August 25, 2015 certification)	None offered	None offered	None offered

Country/Exchange	Underlying	Futures Contracts ¹	Options on Futures Contracts ¹	Equity Options	ETF Options
U.K./ICE Futures Europe ²	MSCI World	Approved for sale to U.S. Persons (September 24, 2014 certification)	None offered	None offered	None offered
U.K./ICE Futures Europe ²	PSI 20	Not approved	None offered	Approved for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC) ³	None offered
U.K./ICE Futures Europe ²	Single name equities	Not approved	None offered	Approved for Eligible Options on individual equity securities on specified non-U.S. exchanges ²⁰ for Eligible U.S. Institutions (March 28, 2014 Representation Letter from ICE Futures Europe to SEC)	None offered
U.K./London Stock Exchange ²¹	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) ^{3,4}	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 Kevin M. Foley at +1.312.902.5372 or kevin.foley@katten.com, Gary A. DeWaal at +1.212.940.6558 or gary.dewaal@katten.com, Daniel J. Davis at +1.202.625.3644 or daniel.davis@katten.com, Christian B. Hennion at +1.312.902.5521 or christian.hennion@katten.com, Carl E. Kennedy at +1.212.940.8544 or carl.kennedy@katten.com, or James M. Brady at +1.312.902.5362 or james.brady@katten.com.

"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](#).

¹ The statement that certain futures contracts listed in this Chart are "Not Approved" means only that the applicable foreign board of trade (FBOT) has not submitted the contract to the CFTC for certification in accordance with CFTC Rule 30.13 or that certification was denied. All futures contracts listed on a FBOT based on a non-narrow-based security index must be certified by the CFTC before they may be offered to U.S. persons.

If the contract is on a narrow-based security index or a single equity security, however, the CFTC has no authority to certify that the contract may be offered to U.S. persons. Qualified Institutional Buyers (QIBs), nonetheless, may trade futures contracts on a narrow-based security index or a single security, subject to the terms and conditions set out in the SEC's June 30, 2009 *Order under Section 36 of the Securities Exchange Act of 1934 Granting an Exemption from Exchange Act Section 6(h)(1) for Certain Persons Effecting Transactions in Foreign Security Futures and under Exchange Act Section 15(a)(2) and Section 36 Granting Exemptions from Exchange Act Section 15(a)(1) and Certain Other Requirements*. Release No. 34-60194; International Series Release No. 1311.

QIBs that wish to enter into a futures contract that is "Not Approved" should consult with their own advisers to determine whether such contract is based on a non-narrow-based security index that the CFTC has not certified and, therefore, may not be traded by U.S. persons, or whether it is based on a narrow-based security index or single equity security and is potentially eligible to be traded by QIBs.

² 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.

³ 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](#).

⁴ 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.

⁵ The CFTC No-Action Letter also applies to BM&F Bovespa's "Ibovespa Rollover" and "Forward Points on the Ibovespa" transactions.

⁶ 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 or orders, 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.

⁷ 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.

- ⁸ The futures contract on the FTSE EPRA/NAREIT Euro Zone Index previously had been approved for sale to U.S. persons pursuant to a July 10, 2008 CFTC No-Action Letter issued to Euronext LIFFE, on behalf of Euronext Paris S.A. On December 9, 2011, the No-Action Letter was revoked.
- ⁹ Unless otherwise indicated, a futures contract on an ETF that tracks the same index is not approved for sale to U.S. Persons.
- ¹⁰ A foreign board of trade (FBOT) is no longer required to request certification pursuant to CFTC Rule 30.13 to offer dividend index contracts to U.S. persons since the underlying index is not a security index. However, if an FBOT intends to make a dividend index contract available to any U.S. person through direct access, the FBOT must notify the CFTC under Part 48 of the CFTC regulations.
- ¹¹ 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. The list of equity index futures listed on Eurex and available for direct market access from the U.S. is available [here](#).
- ¹² 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). The list of Eligible Options listed for trading on Eurex is available [here](#).
- ¹³ 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.
- ¹⁴ 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.
- ¹⁵ 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.
- ¹⁶ Additional restrictions apply to the trading of these products by U.S. Persons.
- ¹⁷ 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 would be deemed a narrow-based index, and futures contracts on this index may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.
- ¹⁸ 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.
- ¹⁹ The MSCI Europe Net Total Return (EUR) Index futures contract 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.
- ²⁰ 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.
- ²¹ London Stock Exchange Derivatives delisted various futures and equity options contracts that had been approved for U.S. Persons.
- ²² The futures contract on the STOXX Europe 600 Media Index previously had been approved for sale to U.S. persons pursuant to a February 6, 2008 CFTC No-Action Letter issued to Eurex Exchange. On March 1, 2019, Eurex Exchange issued a notice providing that, as of March 11, 2019, the index would be deemed a narrow-based index, and futures contracts on this index may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.
- ²³ The futures contract on the MSCI Indonesia Index previously had been approved for sale to U.S. persons pursuant to a certification on August 4, 2016. On July 12, 2019, Eurex Exchange issued a notice providing that, as of September 23, 2019, the index would be deemed a narrow-based index, and futures contracts on this index may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.
- ²⁴ The futures contracts on the MSCI Indonesia Index and the MSCI Indonesia NTR (USD) Index previously had been approved for sale to U.S. persons pursuant to certifications on October 2, 2012 and June 12, 2017, respectively. As of September 23, 2019, the indices would be deemed narrow-based indices, and futures contracts on these indices may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.
- ²⁵ The futures contracts on the KOSPI 200 index, the Mini KOSPI 200 index and the KRX 300 index previously had been approved for sale to U.S. persons pursuant to a no-action letter dated November 26, 2008, a certification dated August 1, 2017, and a certification dated March 14, 2019, respectively. The KOSPI 200 index was deemed a narrow-based index as of April 1, 2020, and

the KRX 300 index was deemed a narrow-based index as of July 1, 2020. As such, futures contracts on these indices may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.

²⁶ The futures contracts on the MSCI Mexico Index and the MSCI South Africa NTR (USD) Index previously had been approved for sale to U.S. persons pursuant to certifications on August 4, 2016 and February 4, 2020, respectively. As of June 22, 2020, the indices were deemed narrow-based indices, and futures contracts on these indices may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.

²⁷ The futures contract on the STOXX Europe 600 Travel & Leisure Index previously had been approved for sale to U.S. persons pursuant to a No-Action Letter on February 6, 2008. The STOXX Europe 600 Travel & Leisure Index was deemed a narrow-based index as of October 5, 2020, and futures contracts on this index may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.

²⁸ The futures contract and mini futures contract on the TAIEX previously had been approved for sale to U.S. persons pursuant to a no-action letter dated June 2, 2004. The TAIEX was deemed a narrow-based index as of April 1, 2021, and futures and mini futures contracts on this index may only be offered and sold to U.S. persons in compliance with the applicable requirements of both the SEC and the CFTC.

Attorney advertising. Published as a source of information only. The material contained herein is not to be construed as legal advice or opinion.

©2021 Katten Muchin Rosenman LLP. All rights reserved.



CENTURY CITY | CHARLOTTE | CHICAGO | DALLAS | LONDON | LOS ANGELES | NEW YORK | ORANGE COUNTY | SHANGHAI | WASHINGTON, DC

Katten refers to Katten Muchin Rosenman LLP and the affiliated partnership as explained at [katten.com/disclaimer](https://www.katten.com/disclaimer).