The Regulatory Oversight Committee is a Board Committee comprised of Public Directors of the exchange’s Board of Directors. The Committee oversees the fulfillment of the exchange’s compliance with its self-regulatory obligations and advises the Board with respect to those obligations. The Committee, among other things:

- reviews and makes recommendations to the Board of Directors with respect to the responsibilities, budget and staffing of the Market Regulation Department so that it is able to fulfill its self-regulatory responsibilities;
- reviews the functioning of the Market Regulation Department to determine whether it is able to implement self-regulatory responsibilities independent of any improper influence, interference or other factors that could interfere with the ability to fulfill its responsibilities;
- reviews the exchange’s compliance with its self-regulatory responsibilities as prescribed by law and the exchange’s rules; and
- reviews changes and proposed changes, as appropriate, to the exchange’s rules to the extent that such rules are likely to impact significantly the self-regulatory functions of the exchange.

Currently, the members of the Regulatory Oversight Committee are Maxine Champion, Fred Hatfield, Terrence Martell and Charles Crisp, all of whom are Public Directors of the exchange’s Board of Directors.