

# RJO'Brien News

## INTRODUCING BROKER NEWSLETTER

Service is our trade ■ Since 1914

### RJO Department Spotlight Compliance Department

We would like to introduce you to RJO's Compliance Department! As many of our IBs have regular interaction with this department, we felt it important to familiarize you with them. The primary objective of RJO's Compliance Department is to ensure the firm, as well as the IB community, is kept up-to-date on rules and best practices so business may be conducted as efficiently as possible within the current regulatory framework. To achieve this goal, RJO administers a comprehensive audits, supervision, and training program built on the department's past experiences and its wide variety of responsibilities. Some of those duties include: responding to regulatory inquiries; monitoring account activity; reviewing new account applications; anti-money laundering; fielding customer complaints. RJO's Compliance Department reflects the firm's dedication to service, conservative values, and its commitment to the customer. Please feel free to use the contact information below.

Led by Chief Compliance Officer, Nancy Westwick, the department consists of 19 professionals throughout the US, Canada, and the UK. Since joining RJO in 2011, Nancy has assembled a well-rounded team that has finance, legal, and trading floor experience to support brokers and to provide guidance as needed.



**Pictured (Left to Right):** Front Row: Bjondi Dervishi, Lisa Escutia, Connor Fahey; Second Row: Patrick Rose, Steve Andrews, Lindsay McMullin, Barb Smith, Nancy Westwick, Nicole Murkey, Jay Burns, Matt Lange; **Not Pictured:** Lisa Baker, Wendy Jobson, & Lisa Salcedo.

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Nancy Westwick	Chief Compliance Officer	(312) 373-5215	<a href="mailto:nwestwick@rjobrien.com">nwestwick@rjobrien.com</a>
Steve Andrews	Sr. Director	(312) 373-5123	<a href="mailto:sandrews@rjobrien.com">sandrews@rjobrien.com</a>
Lindsay McMullin	Analyst I (AML)	(312) 373-5203	<a href="mailto:lmcmullin@rjobrien.com">lmcmullin@rjobrien.com</a>
Lisa Escutia	Associate (Regulatory Requests)	(312) 373-4819	<a href="mailto:lescutia@rjobrien.com">lescutia@rjobrien.com</a>
Jay Burns	Manager (IB Ops, New Accounts, CTAs.)	(312) 373-5241	<a href="mailto:jburns@rjobrien.com">jburns@rjobrien.com</a>
Bjondi Dervishi	Associate (IB Ops, New Accounts, CTAs)	(312) 373-5254	<a href="mailto:bdervishi@rjobrien.com">bdervishi@rjobrien.com</a>
Patrick Rose	Analyst I (New Accounts, Position Transfers)	(312) 373-5257	<a href="mailto:prose@rjobrien.com">prose@rjobrien.com</a>
Matt Lange	Manager (Audits, Supervision, New IBs)	(312) 373-4879	<a href="mailto:mlange@rjobrien.com">mlange@rjobrien.com</a>
Lisa Salcedo	Associate (Audits, Supervision, Registration)	(312) 373-5214	<a href="mailto:lsalcedo@rjobrien.com">lsalcedo@rjobrien.com</a>
Nicole Murkey	Associate (Audits, SBAs, Memberships)	(312) 373-5246	<a href="mailto:nmurkey@rjobrien.com">nmurkey@rjobrien.com</a>
Wendy Jobson	Analyst I (Audits, Supervision)	(312) 361-4868	<a href="mailto:wjobson@rjobrien.com">wjobson@rjobrien.com</a>
Lisa Baker	Analyst II (Audits, Supervision, Training)	(843) 640-3686	<a href="mailto:lbaker@rjobrien.com">lbaker@rjobrien.com</a>
Barb Smith	Associate (RJO Futures)	(312) 373-4883	<a href="mailto:bsmith@rjobrien.com">bsmith@rjobrien.com</a>

## Important Reminders

### Cyber Security, Customer Account Documents, ACH Authorization, IB Conference, Presentation Schedule

#### Cyber Security

National Futures Association ("NFA") created a set of bullet points as a starting point to develop your Cyber Security Procedure. You should carefully consider your firm's operations before deciding that a particular point is not applicable.

- 1.) Identification of threats & vulnerabilities:
  - A.) Taking an inventory of information & assets
  - B.) Conducting a risk assessment
- 2.) Deployment of protective measures against the identified threats & vulnerabilities:
  - A.) Physical security
  - B.) Technical security
  - C.) System & information integrity
  - D.) Data movement
  - E.) Maintenance
  - F.) System activity monitoring & audit records
  - G.) Personnel
  - H.) Security training
- 3.) Detection of threats in a timely manner
- 4.) Response to events that threaten the security of electronic systems
- 5.) Recovery from threatening events
- 6.) Training
- 7.) Annual review of ISSP

There is a list of cyber security links that might be useful for implementing the above bullet points. If you would like a list of these links and/or have any further questions, please contact the Compliance Department at [compliancedept@rjobrien.com](mailto:compliancedept@rjobrien.com).

#### Customer Account Documents

As you may be aware, RJO recently took the time to revamp the Customer Account Agreement. The updated account agreement has a revision date of 1/16 and is available for download on our website at: <https://www.rjobrien.com/account/forms>. Additionally, printed booklets are now available upon request. Please contact Customer Accounts at [customeraccounts@rjobrien.com](mailto:customeraccounts@rjobrien.com) with questions or booklet requests. Effective May 1, 2016, RJO will no longer accept Account Agreements with a revision date earlier than 1/16. You are required to send all the pages from the account application booklet, not just the signature pages. If you only send signatures pages, it will delay the opening of the account.

RJO has also updated the W-9 in our account booklets to the current IRS W-9. This updated form is on our website under "additional documents". If you are using the paper copies of the account booklet, make sure that you download the correct W-9 for your customer to fill out. The new W-9 is required for any new U.S. Customer account to be opened.

The Preliminary Risk Assessment form has been updated as well. Please use this new version when you are turning in any new customer account documents.

#### ACH Authorization

Due to ongoing AML regulations, RJO is required to verify the origination of funds on all electronic fund transfers, including ACH transfers. Effective **June 15, 2016**, an image of a voided check that matches the bank account referenced must accompany each completed ACH Authorization Agreement submitted to RJO for setup. Please make sure the name of the bank account, bank account number, and routing number are all clear and visible for verification. Please contact the Client Services Department at [clientservices@rjobrien.com](mailto:clientservices@rjobrien.com) with any questions.

#### 21st Annual "Exchange of Ideas" Introducing Brokers' Conference

RJO will be heading to New Orleans, LA! Please join us March 17-18, 2017 at the InterContinental New Orleans. The hotel is located a short walk from a long list of attractions like: river walk shopping, art galleries, parks, World War II Museum, French Market, St. Charles Avenue Streetcar, casinos, famous restaurants, and music venues. Be on the look out for a Save the Date, which will have more specific details regarding making reservations. If you have any questions regarding the conference, please contact Katie Rogers at [krogers@rjobrien.com](mailto:krogers@rjobrien.com) or (312) 373-5277 We look forward to seeing you in March 2017!



#### Mark Your Calendars

July 19th	Hightower Teleconference
Aug 18th	Regional Meeting
Aug 20th	Hightower Teleconference
Sept 20th	Hightower Teleconference
Oct 6th	Regional Meeting
Oct 18th	Hightower Teleconference
Nov 15th	Hightower Teleconference
Dec13th	Hightower Teleconference

## CME Group

*Access CME Group Tools and Analytics to Strengthen Your Business Capabilities*

As part of our continuing partnership with R.J. O'Brien, CME Group offers you a variety of tools and resources to make sure you have the information you need to succeed at your fingertips.



### Pace of the Roll

Each quarter during the roll period, these tools show real time information enabling you to track the progress of the market to analyze your futures roll strategy.

- **Agriculture** | [cmegroup.com/agsroll](http://cmegroup.com/agsroll)
- **Energy** | [cmegroup.com/energyroll](http://cmegroup.com/energyroll)
- **Equity** | [cmegroup.com/equityroll](http://cmegroup.com/equityroll)
- **FX** | [cmegroup.com/fxroll](http://cmegroup.com/fxroll)
- **Interest Rates** | [cmegroup.com/interestratesroll](http://cmegroup.com/interestratesroll)



### Product Review Reports

Stay informed with the latest developments across all asset classes including trading highlights, average daily volumes, open interest, and historical volatility.

- **Agriculture** | [cmegroup.com/agsreview](http://cmegroup.com/agsreview)
- **Energy** | [cmegroup.com/energyreview](http://cmegroup.com/energyreview)
- **Equity** | [cmegroup.com/equityreview](http://cmegroup.com/equityreview)
- **FX** | [cmegroup.com/fxreview](http://cmegroup.com/fxreview)
- **Interest Rates** | [cmegroup.com/interestratesreview](http://cmegroup.com/interestratesreview)
- **Metals** | [cmegroup.com/metalsreview](http://cmegroup.com/metalsreview)
- **Options** | [cmegroup.com/optionsreview](http://cmegroup.com/optionsreview)



### Countdown to the FOMC

Stay up-to-date with the latest FOMC statements and count down to the next FOMC meeting while staying aware of when the Fed might raise the Fed Funds target rate with the CME Group FedWatch tool.

[cmegroup.com/fedwatch](http://cmegroup.com/fedwatch)



### QuikStrike Option Pricing & Analysis

This benchmark pricing and analysis platform provides access to current and historical volatility (by strike), volume and open interest information, delta sheets, pricing analysis, spread analysis, and risk graphs.

[cmegroup.com/quikstrike](http://cmegroup.com/quikstrike)



## With Sympathy

### James C. "Jimbo" Ratcliff

James "Jimbo" Ratcliff of Jimbo Trading LLC in Collierville, TN passed away peacefully on March 9, 2016 surrounded by friends and family at The Shepherd Center in Atlanta, GA. Jimbo was born in Okinawa while his father was stationed there as a flight surgeon for the U.S. Military. He spent his childhood in Brooksville, MS where he learned to love the wonders of the Tombigbee River swamp where his father built an A-Frame camp house on the bank of the river. He attended Central Academy in Macon, MS where he excelled academically and on the football field. Then he was off to the University of Mississippi where he was an extremely active member of Sigma Nu Fraternity. After college, he built a successful commodity brokerage practice with a global client base. As a founder and President of Bigbee Valley Hunting Club, Jimbo introduced the wonders of outdoor life to a host of young men and was a major force in their spiritual and emotional growth. As a celebrated cook, Jimbo brought joy and laughter to countless friends as his culinary magic brought people from all walks of life to a common table of love and sharing. He follows his father, Dr. James Ratcliff to heaven. He is survived by Sloan Eskrigge, his soul mate, sous chef and in the end, caregiver extraordinaire. He also is survived by his mother, Carol; sisters, Karen Varner (Paul) and Suzan Bell (Dudley); brother, Bob Ratcliff (Robin); nieces, Heather Mason (Chris), Jaimee Lee (Stephen), Fran Snow (Nathan) and Amanda Blunt (Trey); and his nephew, Joel Varner. He also leaves Sloan's children, Brock and Mary Cayce and numerous great-nieces and nephews who all adore him.

## Regional Meetings

### Speaker Introduction

**Hello Dave Toth!** Dave joined RJO as the Director of Technical Research in 2007 following a career that began in 1981 at Geldermann, Inc. where he provided technical research and sales services to institutional traders of financial futures and options until 1995. After stints at Optima Research and TJM Institutional Services, Dave served as Director of Technical Research, Foreign Exchange & Metals at UBS Investment Bank from 1998 to 2005 before leaving for CEC Capital, an emerging CTA. Through RJO's Market Insights, Dave provides extensive technical research and option structuring expertise to traders and hedgers in the financial, FX, energy, grain, livestock and softs commodity sectors. He has a simple technical analysis philosophy using just momentum, market sentiment and Fibonacci technical tools with, at times, an Elliott Wave language. Toth graduated from Purdue University in 1981 and lives in Munster, IN with his wife Ellen. He has three children- Alex, Angela and Sam- is an avid home brewer and recently opened Byway Brewing Company in Hammond, IN.



As a part of our ongoing commitment to the Introducing Broker community, RJO hosts outlook presentations throughout the U.S. We have partnered with the CME Group to bring you a more diverse speaker line-up. Please be on the lookout for additional information on the meetings in the following areas:

**Thursday, August 18, 2016—Omaha, NE**

Grain/Oilseed Outlook  
Richard Feltes

**Thursday, October 6, 2016—Kansas City, MO**

Technical Tools & Outlook  
Dave Toth



We invite you, your brokers, and any pertinent clients to these hour-long outlooks with dinner immediately following. Email all future regional meeting location suggestions to [marketing@rjobrien.com](mailto:marketing@rjobrien.com).

#### DISCLAIMER

The information contained herein has been taken from trade and statistical services and other sources we believe are reliable. R.J. O'Brien does not guarantee that such information is accurate or complete and it should not be relied upon as such. Opinions expressed reflect judgments at this date and are subject to change without notice.