

COMMODITY FUTURES TRADING COMMISSION

17 CFR Parts 1, 3, 5, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 29, 23, 30, 31, 37, 40, 41, 43, 45, 46, 49, 140, 142, 144, 145, 146, 147, 148, 149, 150, 155, 160, 162, 165, 170, 171, and 190

RIN [XXXXXX]

Revision of Certain Provisions to Incorporate Changes in the Commission's Administrative Structure, Remove Superfluous Verbiage, and Correct Inaccurate Text
AGENCY: Commodity Futures Trading Commission.

ACTION: Final rule.

SUMMARY: The agency's Divisions and Offices have been reorganized at the Chairman's direction, and with prior notification to relevant congressional committees. To ensure the CFR reflects these changes, the Commodity Futures Trading Commission (Commission or CFTC) is voting to make technical changes to various provisions within its regulations in order to align with its change in administrative structure, remove superfluous verbiage, and correct inaccurate text. In addition to the administrative changes required due to the realignment, the Commission is adopting technical changes to ensure consistency in reference to Commission addresses, delete references to positions that have changed and update the positions to align with the current Commission structure, correct typographical errors, and other technical changes.

DATES: These amendments shall become effective on [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER] except for the amendments in

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45.15(a), 45.15(a)(4), 45.14(b), 45.15(b)(4), 49.3(e)(2), 40.17(i)(1), 49.17(i)(2), 49.18(e)(1), 49.18(e)(2), and 49.31 which are effective on January 25, 2021.

FOR FURTHER INFORMATION CONTACT: John Einstman, Deputy General Counsel (General Law), Telephone: (202) 418-5337, E-mail: jeinstman@cftc.gov; or Joan Fina, Assistant General Counsel, Telephone: (202) 418-7621, E-mail: jfina@cftc.gov, Legal Division, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

SUPPLEMENTARY INFORMATION:

I. Background

An agency reorganization in November 2020 realigned key functions within the agency, including: 1) creating a new Division of Data (DOD) from the data-centric components in the Division of Market Oversight (DMO) and the Office of Data and Technology (ODT); 2) reassigning the Executive Secretariat Branch from the Office of the Executive Director (OED) to the Office of General Counsel (OGC) and renamed OGC the “Legal Division” (LD); and 3) renaming and realigning the Division of Swap Dealer and Intermediary Oversight (DSIO) and the Office of Customer Education and Outreach (OCEO) to the “Market Participants Division” (MPD).

Technology has dramatically altered capital and commodity markets over the past few decades, and technologically induced innovations such as electronic exchanges, high-frequency trading, and exchange-traded funds have made trading faster, cheaper, more integrated, and increasingly complex. As a financial regulator in an ever-increasingly sophisticated market environment, it is becoming more and more crucial that the CFTC focus on data and data reporting and invest in technologies necessary to keep pace with

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market innovation. Our oversight responsibilities are becoming highly data acquisitive and rely on the effective use of information, including through the use of algorithms and analytics to more effectively manage data to meet our regulatory objectives. The Division of Data was created to address the Commission's growing data needs and to position the agency to continue to achieve its mission in accord with new technologies.

The Division of Swap Dealer and Intermediary Oversight (DSIO) is responsible primarily for overseeing derivatives market intermediaries, including commodity pool operators, commodity trading advisors, futures commission merchants, introducing brokers, major swap participants, retail foreign exchange dealers, and swap dealers, as well as designated self-regulatory organizations. The Office of Consumer Outreach and Education (OCEO) provides education and outreach to all end-users and market participants. Combining DSIO and OCEO into one Division, called the Market Participants Division, streamlines how market participants interact with the agency.

The Commission's legal compliance groups that are responsible for records, Freedom of Information Act, Sunshine Act, privacy, and transparency were divided between the Office of General Counsel and the Executive Secretariat Branch in the Office of the Executive Director. Moving the Executive Secretariat Branch into the Legal Division ensures consistency through streamlining all legal compliance programs into one division.

In addition to the changes required due to the realignment, the Commission proposes technical changes to ensure consistency in reference to addresses, delete references to positions that have changed and update the positions to align with the current Commission structure, correct typographical errors, and other technical changes.

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Section 2(a)(12) of the Commodity Exchange Act authorizes the Commission to promulgate such rules and regulations as it deems necessary to govern the operating procedures and conduct of business of the Commission. The Commission is promulgating this rule to reflect changes in its administrative structure and to make conforming technical changes to its regulations.

II. RELATED MATTERS

A. Administrative Procedure Act

The amendments to the Commission’s regulations in this rulemaking do not establish any new substantive or legislative rules, but rather relate to the restructuring of responsibilities within the Commission, including amendments changing the names of divisions and offices that are affected by the realignment and re-delegating authority to newly formed divisions. The amendments to the Commission’s regulations relate solely to agency management, organization, procedure, and practice and provide technical corrections of a minor and administrative nature, such as technical changes to ensure consistency in reference to Commission addresses, delete references to positions that have changed and update the positions to align with the current Commission structure, correct typographical errors, and other similar technical corrections. Therefore, this rulemaking is excepted from the public rulemaking provisions of the Administrative Procedure Act.¹ Additionally, an agency may issue a new rule in some circumstances without publication in the Federal Register of a notice of proposed rulemaking with an opportunity for comment if “the agency for ‘good cause’ finds (and incorporates the

¹ 5 U.S.C. 553(a) and (b). Rulemaking procedures apply, “except to the extent that there is involved—(1) a military or foreign affairs function of the United States; or (2) a matter relating to agency management or personnel or to public property, loans, grants, benefits, or contracts.”

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finding and a brief statement of the reasons therefor in the rules issued) that notice and public procedure thereon are ‘impracticable, unnecessary, or contrary to the public interest.’”² As the revisions to the Commission’s regulations in this rulemaking will not cause any party to undertake efforts to comply with the regulations as revised, the Commission has determined to make this rulemaking effective upon publication in the Federal Register.³

B. Regulatory Flexibility Act

The Regulatory Flexibility Act requires the Commission to consider whether the regulations it adopts will have a significant economic impact on a substantial number of small entities.⁴ The Commission is obligated to conduct a regulatory flexibility analysis for any rule for which the agency publishes a general notice of proposed rulemaking pursuant to Section 553(b) of the Administrative Procedure Act or any other law.⁵ This rulemaking is excepted from the public rulemaking provisions of the Administrative Procedure Act. Accordingly, the Commission is not required to conduct a regulatory flexibility analysis for this rulemaking.

C. Paperwork Reduction Act

The Commission may not conduct or sponsor, and a respondent is not required to respond to, a collection of information contained in a rulemaking unless the information collection displays a currently valid control number issued by the Office of Management

² 5 U.S.C 553 (b). Further, section 553(d) of the APA, 5 U.S.C. 553(d) provides, in part, that a rule may not be made effective less than 30 except “as otherwise provided by the agency for good cause found and published with the rule.”

³ Good cause exists as the final rule implement changes that affect internal agency management, organization and procedure that do not require a delayed effective date.

⁴ See 5 U.S.C. 601 *et seq.*

⁵ 5 U.S.C. 601(2).

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and Budget (OMB) pursuant to the Paperwork Reduction Act of 1995 (Paperwork Reduction Act).⁶ This final rule does not contain a collection of information as defined in the Paperwork Reduction Act and, therefore, is not subject to the requirements of the Paperwork Reduction Act.

D. Cost-Benefit Considerations

Section 15 of the Commodity Exchange Act, as amended by the Commodity Futures Modernization Act of 2000, provides that before promulgating a regulation under this Act or issuing an order, the Commission shall consider the costs and benefits of the action of the Commission. These rules govern internal agency organization, procedure, and practice, and therefore the Commission finds that none of the considerations enumerated in Section 15(a)(2) of the Commodity Exchange Act, as amended, are applicable to these rules.

E. Congressional Review Act

This final rule is not a rule as defined in the Congressional Review Act.⁷

List of Subjects in 17 CFR Part 140

Authority delegations (Government agencies), Organization and functions (Government agencies).

For the reasons stated in the preamble, the Commission hereby amends chapter I of title 17 of the Code of Federal Regulations as follows:

PARTS 1, 3, 5, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 29, 23, 30, 31, 37, 40, 41, 43, 45, 46, 49, 140, 142, 144, 145, 146, 147, 148, 149, 150, 155, 160, 162, 165, 170, 171, and 190 [Amended]

⁶ See 44 U.S.C. 3501 *et seq.*

⁷ See 5 U.S.C. 801-808.

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1. Except where otherwise provided, the authority citations for each of the parts being amended shall continue to read as they read presently in title 17, chapter I of the Code of Federal Regulations.

2. For each section and paragraph indicated in the left column of the following table, remove the text in the middle column from wherever it appears in the section or paragraph, and add in its place the text indicated in the right column:

Section	Remove	Add
1.12(g)(3)	Director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.17(c)(6)(ii)(A)	Director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.17(c)(6)(ii)(C)	Director of the Division and Clearing and Intermediary Oversight	Director of the Market Participants Division
1.17(c)(6)(ii)(D)	Director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.17(c)(6)(iii)(B)	Director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.20(d)(3)(i)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.20(d)(3)(i)	director's designees	Director's designees
1.20(d)(3)(ii)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division

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1.20(d)(5)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.20(d)(5)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
1.20(d)(5)	director's designees	Director's designees
1.20(d)(6)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.20(d)(6)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
1.20(d)(6)	director's designees	Director's designees
1.20(g)(4)(iv)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.20(g)(4)(iv)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
1.20(g)(4)(iv)	director's designees	Director's designees
Pt. 1.20, App. A (multiple times)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
Pt. 1.20, App. A (multiple times)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
Pt. 1.20, App. A (multiple times)	director's designees	Director's designees
Pt. 1.20, App. B (multiple times)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
Pt. 1.20, App. B (multiple times)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
Pt. 1.20, App. B (multiple times)	director's designees	Director's designees

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Pt. 1.26, App. A (multiple times)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
Pt. 1.26, App. A (multiple times)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
Pt. 1.26, App. A (multiple times)	director’s designees	Director’s designees
Pt. 1.26, App. B (multiple times)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
Pt. 1.26, App. B (multiple times)	director of the Division of Clearing and Risk	Director of the Division of Clearing and Risk
Pt. 1.26, App. B (multiple times)	director’s designees	Director’s designees
1.35(a)(9)(iii)	Director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
1.35(a)(9)(iii)	Director may designate from time to time	Director may designate
1.52(c)(3)(iii)(B)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
1.52(c)(3)(iii)(C) (multiple times)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
1.52(c)(2) iii)(B)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
1.52(c)(2) iii)(C) (multiple times)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
(d)(2)(ii)(G)(2)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
(d)(2)(ii)(G)(3)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division

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(d)(2)(iii)(D)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
(d)(2)(iii)(f)(2)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
1.60(e)	Office of the General Counsel	Legal Division
1.65(d)	Compliance and Registration Section	Compliance and Registration Branch
1.65(d)	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
1.65(d)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
1.66(b)(5)(ii)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.3(h)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.3(h)	Director may designate from time to time	Director may designate
3.22	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.33(e)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.33(e)	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
3.50(c)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.50(c)	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters

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3.50(d)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.55(e)(2)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.56(e)(2)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.63	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.70(a)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.70(a)	Washington, DC office	Washington, DC headquarters
3.70(a)	(Attn: Deputy Director, Registration and Compliance Branch, Division of Swap Dealer and Intermediary Oversight Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581).	(Attn: Deputy Director, Registration and Compliance Branch, Market Participants Division).
Pt. 3 app. A, note 2	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.75(a)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
3.75(a)	any matter which has been delegated to him	any matter which has been delegated to them
5.6(f)(3)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
5.6(h)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
5.6(h)	at the Commission’s principal office in Washington, DC	at the Commission’s Washington, DC headquarters

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5.20(d) (two references)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
5.23(f)	Deputy Director, Registration and Compliance Section	Deputy Director, Registration and Compliance Branch
5.23(f)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
5.23(f)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
9.2(h)	Division of Swap Dealer and Intermediary Oversight and Division of Clearing and Risk	Market Participants Division and/or the Division of Clearing and Risk
9.4(a)	or by mail to Proceedings Clerk, Office of Proceedings, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	or by mail to the Proceedings Clerk, Office of Proceedings at the Commission's Washington, DC headquarters
9.26	Division of Swap Dealer and Intermediary Oversight and Division of Clearing and Risk	Market Participants Division and/or the Division of Clearing and Risk
9.31(a)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
10.2(i)	member of the Commission's staff designated as such in the Commission's Office of Proceedings	any member of the Commission's staff designated as such by the Director of the Office of Proceedings

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10.4	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	the Commission’s Washington, DC headquarters
10.10(a)(1)(iii)	Deputy General Counsel for Opinions and Review	Deputy General Counsel for Litigation, Enforcement, and Adjudication
10.10(a)(1)(iii)	Office of General Counsel	Legal Division
10.12(d)	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	the Commission’s Washington, DC headquarters
10.106(b)(3)	Notwithstanding	Notwithstanding
11.2(b)	Program Coordinator	Principal Deputy Director
11.2(b)	Regional Counsel	Deputy Regional Counsel
11.7(a)	Program Coordinator	Principal Deputy Director
11.7(a)	Regional Counsel of the Division of Enforcement, or a Regional Director of the Commission	Deputy Regional Counsel of the Division of Enforcement
Part 11 Appendix A	Program Coordinator	Principal Deputy Director
Part 11 Appendix A	Regional Counsel of the Division, or a Regional Director of the Commission	Deputy Regional Counsel of the Division of Enforcement
Part 11 Appendix A	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission’s Washington, DC headquarters
12.2 (multiple references)	Office of General Counsel	Legal Division
12.2	means that member of the Commission’s staff in the Office of Proceedings who shall maintain the Commission’s reparation	means any member of the Commission’s staff designated as such by the Director of the Office of Proceedings

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	docket, assign reparation cases to an appropriate decisionmaking official, and act as custodian of the records of proceedings	
12.11(f)	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
12.13(b)(3)	Principal Offices in Washington, DC	Washington, DC headquarters
12.18(e)	Principal Offices in Washington, DC	Washington, DC headquarters
12.407(c)	his	them
12.407(c)(1)	Satisfaction	Satisfaction
13.2	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
14.9	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
15.05(d)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
15.05(g)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters

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15.05(i)(2)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission’s Washington, DC headquarters
15.06(a)	Director of the Division of Market Oversight, to be exercised by such Director or by such other employee or employees of such Director as designated from time to time by the Director	Director of the Division of Data, to be exercised by such Director or by such other employee or employees of such Director as designated, and in consultation with the Director of the Division of Market Oversight
16.07 (section heading and text)	Office of Data and Technology	Division of Data
16.07(a)	designate from time to time	designate
16.07(a)	designated from time to time	designated
16.07(a)	paragraph (d) of this section to the Director of the Division of Market Oversight,	paragraph (d) of this section to the Director of the Division of Data,
17.03 (section heading and text)	Office of Data and Technology	Division of Data
17.03	designated from time to time	designated
17.03(a)	Office of Data and Technology	Division of Data
17.03(b)	Office of Data and Technology	Division of Data
17.03(c)	Office of Data and Technology	Division of Data
17.03(d)	Office of Data and Technology	Division of Data

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17.03(e)	Office of Data and Technology	Division of Data
17.03(e)	designate from time to time	designate
17.03(f)	Office of Data and Technology	Division of Data
17.03(f)	designate from time to time	designate
17.03(g)	Division of Market Oversight	Division of Data
17.03(h)	Division of Market Oversight	Division of Data
18.03(b)	designate from time to time	designate
18.03(b)	Office of Data and Technology	Division of Data
18.03(c)	Office of Data and Technology	Division of Data
19.01(b)(1)	Commission’s office in Chicago, IL	Central Regional Office
19.01(b)(2)	Commission’s office in New York, NY	Eastern Regional Office
19.02(b)	Commission’s office in New York, NY	Eastern Regional Office
20.8(a)	designate from time to time	designate
20.8(b)	Director of the Division of Market Oversight	Director of the Division of Data, in consultation with the Director of the Division of Market Oversight
20.8(b)	designate from time to time	designate
20.8(c)	designate from time to time	designate
20.8(c)	Office of Data and Technology	Division of Data

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20.8(d)	Office of Data and Technology, with the concurrence of the Director of the Division of Market Oversight, or such other employee or employees as the Directors	Division of Data, or such other employee or employees as the Director
20.8(e)	Office of Data and Technology	Division of Data
23.160(c)(7)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
23.160(c)(7)	designate from time to time	designate
23.206(a) (section heading and text)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
23.206(b)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
30.7(d)(3)(i)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
30.7(d)(3)(ii)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
30.7(d)(5)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
30.7(d)(5)	director of the Division of Clearing	Director of the Division of Clearing and Risk
30.7(d)(5)	director's designees	Director's designees
30.7(d)(6)	director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
30.7(d)(6)	director of the Division of Clearing	Director of the Division of Clearing and Risk
30.7(d)(6)	director's designees	Director's designees

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30.13(f)(1)	Office of General Counsel	Legal Division
30.13(n)	Office of General Counsel	Legal Division
31.13(n)(1) (two references)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
31.13(n)(1)	his	their
31.13(n)(1)	him	them
31.14(a)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
31.28(j)	Principal office of the Commission	at the Commission's Washington, DC headquarters
Pt. 31, App. A	attention of the Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	Commission at its Washington, DC headquarters, Attn: Financial Management Branch
37.3(h)	General Counsel's delegate	General Counsel's designee
40.7(a)(1)	the Director of the Division of Clearing and Risk, and, separately, to the Director of the Division of Market Oversight, to be exercised by either Director, as appropriate, or by such employees of the Commission that either Director may designate from time to time, the following authorities, with the concurrence of the General Counsel or the General Counsel's delegate:	the Director of the Division of Clearing and Risk, Director of the Division of Market Oversight, and Director of the Division of Data, to be exercised by any of such Directors, as appropriate, or by such employees of the Commission that the appropriate Director may designate, the following authorities, with the concurrence of the General Counsel or the General Counsel's designee:
40.7(a)(2)	the Director of the Division of Clearing and Risk, and, separately, to the	the Director of the Division of Clearing and Risk, Director of the Division of Market

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	Director of the Division of Market Oversight, to be exercised by either Director, as appropriate, or by such employees of the Commission that either Director may designate from time to time, the following authorities, after consultation with the Office of General Counsel or the General Counsel's delegate to notify a registered entity:	Oversight, and Director of the Division of Data, to be exercised by any of such Directors, as appropriate, or by such employees of the Commission that the appropriate Director may designate, the following authorities, after consultation with the Legal Division or the General Counsel's designee to notify a registered entity:
40.7(a)(3)	the Director of the Division of Clearing and Risk, and, separately, to the Director of the Division of Market Oversight, to be exercised by either Director, as appropriate, or by such employees of the Commission that either Director may designate	the Director of the Division of Clearing and Risk, Director of the Division of Market Oversight, and Director of the Division of Data, to be exercised by any of such Directors, as appropriate, or by such employees of the Commission that the appropriate Director may designate,
40.7(a)(4)	the Director of the Division of Market Oversight and, separately, to the Director of the Division of Clearing and Risk, to be exercised by either Director, as appropriate, or by such other employee or employees of the Commission that either Director may designate	the Director of the Division of Market Oversight, the Director of the Division of Clearing and Risk, and the Director of the Division of Data, to be exercised by any of such Directors, as appropriate, or by such other employee or employees of the Commission that the appropriate Director may designate,
40.7(a)(5)	General Counsel's delegate	General Counsel's designee
40.7(a)(5)	designate from time to time	designate
40.7(b)	the Director of the Division of Clearing and Risk and, separately, to the Director of the Division of	the Director of the Division of Clearing and Risk, the Director of the Division of Market Oversight, and the Director of

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	Market Oversight, to be exercised by either Director, as appropriate, or by such employees of the Commission that either Director may designate from time to time, with the concurrence of the General Counsel or the General Counsel's delegate,	the Division of Data, to be exercised by any of such Directors, as appropriate, or by such employees of the Commission that the appropriate Director may designate, with the concurrence of the General Counsel or the General Counsel's designee ,
40.7(c)	the Director of the Division of Market Oversight may	the Director of the Division of Market Oversight, and the Director of the Division of Data separately may
40.8	Office of General Counsel	Legal Division
Pt. 40, App. A	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
41.3(d)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
41.3(d)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission's Washington, DC headquarters
43.7(a)	the Director of the Division of Market Oversight	the Director of the Division of Data
43.7(b)	The Director of the Division of Market Oversight may	The Director of the Division of Data may
45.11(c)	designated from time to time	designated
45.11(c) (multiple references)	Chief Information Officer	Director of the Division of Data
45.11(d)	Chief Information Officer	Division of Data

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45.13(c) (multiple references)	Chief Information Officer	Director of the Division of Data
45.13(c)	designated from time to time	designated
45.13(d)	Chief Information Officer	Director of the Division of Data
45.14(c) (two references)	Chief Information Officer	Director of the Division of Data
45.15(a) (multiple references)	Chief Information Officer	Director of the Division of Data
45.15(a)(4)	Chief Information Officer	Director of the Division of Data
45.15(b) (multiple references)	Division of Market Oversight	Division of Data
45.15(b)(4)	Division of Market Oversight	Division of Data
46.8(c) (multiple references in heading and text)	Chief Information Officer	Director of the Division of Data
46.8(c)	designated from time to time	designated
46.8(d)	Chief Information Officer	Division of Data
49.3(e)(1)	Director of the Division of Market Oversight or the Director's delegates, with the consultation of the General Counsel or the General Counsel's delegates	Director of the Division of Data or by such other employee or employees of the Commission as may be designated by the Director, with the consultation of the General Counsel or such other employee or employees of the Commission as may be designated by the General Counsel
49.3(e)(2)	Division of Market Oversight	Division of Data

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49.17(i)(1)	Division of Market Oversight	Division of Data
49.17(i)(2)	Division of Market Oversight	Division of Data
49.17(e)(1)	Division of Market Oversight	Division of Data
49.17(e)(2)	Division of Market Oversight	Division of Data
49.31 (multiple references in heading and text)	Division of Market Oversight	Division of Data
140.2 (heading and text)	Regional coordinator	Regional administrator
140.11(a)	principal offices of the commission	Commission headquarters
140.11(a)	the Chairman, Vice-Chairman, and	the Chairman and
140.11(b)	the Commission’s offices in Washington, DC	the Commission’s Washington, DC headquarters
140.11(b)	General Counsel or his deputy	General Counsel or their deputy
140.24(a)(4) (two references)	Executive Director or his delegee	Executive Director or their designee
140.24(a)(6) (two references)	Executive Director or his delegee	Executive Director or their designee in consultation with the General Counsel or their designee,
Pt. 140 Table of Contents (140.75, 140.91, 140.93, and 140.94)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.72(a)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.72(a)	the Director of the Division of Market Oversight, the	the Director of the Division of Market Oversight, the Director of the Division of Data, the

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	Director of the Division of Enforcement,	Director of the Division of Enforcement,
140.72(a)	may designate from time to time	may designate
140.73(a)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.73(a)	may designate from time to time	may designate
140.73(a)	the Director of the Division of Enforcement, the Director of the Division of Market Oversight,	the Director of the Division of Enforcement, the Director of the Division of Data, the Director of the Division of Market Oversight,
140.73(b)	his or her	their their ,

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140.73(b)	Director of Market Oversight or in his or her absence each Deputy Director of the Division or for the Director of the Market Surveillance Section to release	Director of Market Oversight or in their absence each Deputy Director of the Division to release
140.75 (section heading and two references)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division
140.75	Acting under his or her direction as the Director may designate from time to time	acting under their direction as either Director may designate
140.75	Director of Trading and Markets or any Commission employee designated by the Director	Director of the Division of Clearing and Risk, the Director of Market Participants Division, or any Commission employee designated by either Director
140.75	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk or the Director of the Market Participants Division
140.76(a)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division
140.76(b)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division
140.77(a)	the Director of the Division of Market Oversight or the Director's designees,	(a) the Director of the Division of Market Oversight, the Director of the Division of

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		Data, or either Director's designees,
140.77(b)	(b) The Director of the Division of Market Oversight	(b) The Director of the Division of Market Oversight or the Director of the Division of Data
140.77(c)	Director of the Division of Market Oversight	Director of the Division of Market Oversight or the Director of the Division of Data
140.91 (section heading)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.91(a)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight and to such members of the Commission's staff acting under his direction as he may designate from time to time:	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division and to such members of the Commission's staff acting under their direction as they may designate:
140.91(b)	The Director of the Division of Clearing and Risk and the Director of the Division Swap Dealer and Intermediary Oversight may submit any matter which has been delegated to him or her	The Director of the Division of Clearing and Risk and the Director of the Market Participants Division may submit any matter which has been delegated to them
140.92(a)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight and to such members of the Commission's staff acting under his direction as he may designate	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division and to such members of the Commission's staff acting under their direction as they may designate
140.92(b)	The Director of the Division of Clearing and	The Director of the Division of Clearing and Risk and the

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	Risk and Division Swap Dealer and Intermediary Oversight may submit any matter which has been delegated to him	Director of the Market Participants Division may submit any matter which has been delegated to them
140.92(c)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division
140.93 (section heading)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.93(a)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight and to such members of the Commission’s staff acting under his direction as he may designate from time to time	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division and to such members of the Commission’s staff acting under their direction as they may designate
140.93(b)	The Director of the Division of Clearing and Risk and Division Swap Dealer and Intermediary Oversight may submit any matter which has been delegated to him	The Director of the Division of Clearing and Risk and the Director of the Market Participants Division may submit any matter which has been delegated to them
140.93(c)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division
140.94 (section heading)	Director of the Division of Swap Dealer and Intermediary Oversight and the Director of the Division of Clearing and Risk	Director of the Market Participants Division and to the Director of the Division of Clearing and Risk
140.94(a)	Director of the Division of Swap Dealer and Intermediary Oversight and	Director of the Market Participants Division and to such members of the

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	to such members of the Commission's staff acting under his or her direction as he or she may designate from time to time	Commission's staff acting under their direction as he or she may designate
140.94(b)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.94(c)	may designate from time to time	may designate
140.94(e)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
140.95(a)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight and to such members of the Commission's staff acting under his direction as he may designate	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division and to such members of the Commission's staff acting under their direction as they may designate
140.95(b)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight may submit any matter which has been delegated to him	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division may submit any matter which has been delegated to them
140.95(c)	Director of the Division of Clearing and Risk and Division of Swap Dealer and Intermediary Oversight	Director of the Division of Clearing and Risk and to the Director of the Market Participants Division
140.96(a)	Director of the Division of Market Oversight or the Director's designee,	Director of the Division of Market Oversight or the Director's designee, or the Director of the Division of Data or the Director's designee,
140.96(b)	the Director of Swap Dealer and Intermediary Oversight or the Director's designee, and to the Director of the Division of	the Director of Market Participants Division or the Director's designee, and to the Director of the Division of Clearing and Risk or the

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	Clearing and Risk or the Director's designee	Director's designee, and to the Director of the Division of Data or the Director's designee,
140.96(c)	Director of the Division of Swap Dealer and Intermediary Oversight or the Director of the Division of Clearing and Risk	Director of the Market Participants Division or the Director of the Division of Clearing and Risk or the Director of the Division of Data
140.96(d)	Director of the Division of Market Oversight and to the Director of the Division of Swap Dealer and Intermediary Oversight or the Director of the Division of Clearing and Risk	Director of the Division of Market Oversight or to the Director of the Market Participants Division or to the Director of the Division of Clearing and Risk or to the Director of the Division of Data
140.99(a)(2)	Division of the Commission or of the Office of the General Counsel	Division of the Commission
140.99(a)(2)	Division that issued it, or the Office of the General Counsel if issued thereby.	Division that issued it.
140.99(a)(3)	Division of the Commission or of the Office of the General Counsel	Division of the Commission
140.99(a)(3)	Division of the Commission or of the Office of the General Counsel, as applicable	Division of the Commission
140.99(a)(5)	Division of Swap Dealer and Intermediary Oversight, the Division of Clearing and Risk or the	Market Participants Division, the Division of Clearing and Risk, the Division of Market Oversight, the Division of Data, the Legal Division, and

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	Division of Market Oversight	any successor divisions or organizational units, as the context requires
140.99(d)(2)(ii)	Director of the Division of Swap Dealer and Intermediary Oversight	Director of the Market Participants Division
140.99(d)(2)(ii)	Director, Division of Clearing and Risk, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581.	Director, Division of Clearing and Risk at the Commission's Washington, DC headquarters.
140.99(d)(2)(iii)	Director, Division of Swap Dealer and Intermediary Oversight, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581.	Director, Market Participants Division at the Commission's Washington, DC headquarters.
140.99(d)(2)(iv) (two references)	or dsioletters@cftc.gov (for a request filed with the Division of Swap Dealer and Intermediary Oversight), as appropriate, and a properly signed paper copy of the request must be provided to the Division of Market Oversight, the Division of Clearing and Risk, or the Division of Swap Dealer and Intermediary Oversight, as appropriate, within ten days for purposes of verification of the electronic submission.	or mpdlettersmpdletters@cftc.gov (for a request filed with the Market Participants Division), as appropriate, and a properly signed paper copy of the request must be provided to the Division of Market Oversight, the Division of Data, the Division of Clearing and Risk, or the Market Participants Division, as appropriate, pursuant to paragraph (d)(2)(i)-(iii) of this section, as applicable, within ten days for purposes of verification of the electronic submission.

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142.2(d)	Office of General Counsel	Legal Division
144.1(b)	Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581.	at the Commission’s Washington, DC headquarters.
144.1(e)	National Futures Association, 200 West Madison Street, Suite 1600, Chicago, Illinois 60606	National Futures Association, 300 S Riverside Plaza suite 1800, Chicago, IL 60606
144.5(a)	Commission office in Washington, DC	Commission’s Washington, DC headquarters
145.0(a)	<i>Compliance staff</i> —refers to the FOI Compliance Staff of the Office of General Counsel at the Commission’s principal office in Washington, DC assigned to respond to requests for information and to handle various other matters under the Freedom of Information Act.	<i>FOIA Compliance staff</i> — refers to the Freedom of Information Act Compliance Staff assigned to respond to requests for information under the Freedom of Information Act.
145.2	principal office of the Commission in Washington, DC	at the Washington, DC headquarters
145.6(a)	the Office of General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581. Requests for public records directed to a regional office of the Commission pursuant to §145.2 should be sent to: Commodity Futures Trading Commission, 140	the Legal Division at the Commission’s Washington, DC headquarters, Attn: FOIA Request or electronically via foiasubmissions@cftc.gov. Requests for public records directed to a regional office of the Commission pursuant to § 145.2 should be sent to the Eastern Regional Office, Central Regional Office, or Southwestern Regional Office, as applicable.

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Broadway, 19th Floor,
 New York, New York
 10005, Telephone: (646)
 746-9700.

Commodity Futures
 Trading Commission, 525
 West Monroe Street, Suite
 1100, Chicago, Illinois
 60661, Telephone: (312)
 596-0700.

Commodity Futures
 Trading Commission, 4900
 Main Street, Suite 500,
 Kansas City, Missouri
 64112, Telephone: (816)
 960-7700.

145.6(b)(1)	National Futures Association, 200 West Madison Street, Suite 1600, Chicago, Illinois 60606	National Futures Association, 300 S Riverside Plaza suite 1800, Chicago, IL 60606
145.7(b)	Office of General Counsel	Legal Division
145.7(c) (two references)	Office of General Counsel	Legal Division
145.7(f)	Office of General Counsel	Legal Division
145.7(g)	Office of General Counsel	Legal Division
145.7(h)(3)	Office of General Counsel	Legal Division
145.7(h)(3) (multiple references)	Compliance Staff	FOIA compliance staff
145.7(g)(2) (two references)	Office of General Counsel	Legal Division
145.7(g)(2) (two references)	Compliance Staff	FOIA compliance staff
145.7(g)(5)	Office of General Counsel	Legal Division
145.7(g)(7)	Office of General Counsel	Legal Division
145.7(j) (two references)	Office of General Counsel	Legal Division

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145.7(j) (two references)	Compliance Staff	FOIA compliance staff
145.9(d)(2)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance	Legal Division at the Commission’s Washington, DC headquarters, Attn: FOIA compliance staff
145.9(d)(3)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance	FOIA compliance staff
145.9(d)(7) (multiple references)	Assistant Secretary	FOIA compliance staff
145.9(d)(9)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance or his or her designee	FOIA compliance staff
149.9(e) (two references)	Assistant Secretary or his or her designee	FOIA compliance staff
145.9(e)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance	FOIA compliance staff
145.9(f)(1)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts compliance	FOIA compliance staff
145.9(f)(2)	Assistant Secretary or his or her designee	FOIA compliance staff
145.9(f)(3)	Assistant Secretary or his or her designee	FOIA compliance staff
145.9(g)(3)	Office of General Counsel	Legal Division
145.9(g)(3)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts compliance	FOIA compliance staff

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145.9(g)(5)	Office of General Counsel	Legal Division
145.9(g)(7)	Office of General Counsel	Legal Division
145.9(g)(8)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance	FOIA compliance staff
145.9(h)	Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance	FOIA compliance staff
Part 145, App. A	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	the Commission's Washington, DC headquarters
Part 145, App. A, (a)	Office of External Affairs	Office of Public Affairs
Part 145, App. A, (d)	Executive Director, Administrative Services Section	Chief Administrative Officer, Division of Administration
Part 145, App. A, (g)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
Part 145, App. A, (g)	National Futures Association, 200 West Madison Street, Suite 1600, Chicago, Illinois 60606	National Futures Association, 300 S Riverside Plaza suite 1800, Chicago, IL 60606
146.2(c)	The term <i>FOI, Privacy and Sunshine Acts compliance staff</i> refers to the staff in the Office of the Secretariat in the Commission's principal office in Washington, DC who are assigned to respond to requests and handle various other matters under the Freedom of Information Act, the Privacy Act of	<i>FOIA Compliance staff</i> —refers to the Freedom of Information Act Compliance Staff assigned to respond to requests for information under the Freedom of Information Act.

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1974 and the Government
in the Sunshine Act

146.3(a)	pertaining to him	pertaining to them
146.3(a)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	FOIA compliance staff in the Legal Division at the Commission’s Washington, DC headquarters and clearly marked “Privacy Act request.”
146.4(b)	Executive Director	General Counsel
146.4(b)	his identity	their identity
146.4(b)	he is familiar with and understands	they are familiar with and understand
146.4(b)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	FOIA compliance staff in the Legal Division at the Commission’s Washington, DC headquarters and clearly marked “Privacy Act request.”
146.5(e)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat	FOIA compliance staff
146.5(f)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	FOIA compliance staff in the Legal Division at the Commission’s Washington, DC headquarters and clearly marked “Privacy Act request.”
146.6(d)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission,	FOIA compliance staff in the Legal Division at the Commission’s Washington, DC headquarters.

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	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	
146.8(a)	pertaining to him	pertaining to them
146.8(a)	under his name	under their name
146.8(a)	if he believes	if they believe
146.8(d)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	Chief Privacy Officer at the Commission’s Washington, DC headquarters.
146.8(e) (two references)	Executive Director	General Counsel
146.8(f)	Executive Director	General Counsel
146.8(g)	Executive Director	General Counsel
146.8(h)	Executive Director	General Counsel
146.9(c)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	General Counsel, Legal Division at the Commission’s Washington, DC headquarters
146.9(d)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat	General Counsel
146.9(e)(3)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat	Chief Privacy Officer

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146.11(b)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	Chief Privacy Officer at the Commission’s Washington, DC headquarters.
Part 146 App. A, (b)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	FOIA compliance staff at the Commission’s Washington, DC headquarters.
147.2(g)	The term <i>FOI, Privacy and Sunshine Acts compliance staff</i> refers to the staff in the Office of the Secretariat in the Commission's principal office in Washington, DC who are assigned to respond to requests and handle various other matters under the Freedom of Information Act, the Privacy Act of 1974 and the Government in the Sunshine Act	FOIA Compliance staff—refers to the Freedom of Information Act Compliance Staff assigned to respond to requests for information under the Freedom of Information Act.
147.4(d)(1)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission’s Washington, DC headquarters
147.5(h)	offices of the FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st	Office of the Secretariat at the Commission’s Washington, DC headquarters.

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Street, NW., Washington,
DC 20581.

- | | | |
|-------------|--|---|
| 147.5(i) | offices of the FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581. | Office of the Secretariat at the Commission’s Washington, DC headquarters. |
| 147.6(c) | offices of the FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581. | Office of the Secretariat at the Commission’s Washington, DC headquarters. |
| 147.8(a) | offices of the FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581. | Office of the Secretariat at the Commission’s Washington, DC headquarters. |
| 147.8(b)(1) | Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts compliance after due consultation with the Office of the Commission’s General Counsel and the Director of any affected staff division | Legal Division in consultation with the Director of any affected staff division |

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147.9(b)	FOI, Privacy and Sunshine Acts compliance staff, Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	Office of the Secretariat at the Commission's Washington, DC headquarters.
148.30	Executive Director of the Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	Executive Director at the Commission's Washington, DC headquarters.
149.170(c)	Equal Employment Opportunity Officer, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	Equal Employment Opportunity Officer at the Commission's Washington, DC headquarters.
150.4(e)(1)	may designate from time to time	may designate
150.4(e)(2)	may designate from time to time	may designate
150.4(e)(2)	Office of Data and Technology	Division of Data
150.4(e)(3)	Office of Data and Technology	Division of Data
151.12 (heading)	Division of Market Oversight.	Division of Market Oversight or the Director of the Division of Data.
151.12(a)	Director of the Division of Market Oversight or such other employee or employees as the Director	The Commission hereby delegates, until it orders otherwise, to the Director of the Division of Market Oversight or, solely with respect to §151.12(a)(5), the Director of the Division of Data or, in either case, such other employee or employees

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		as the appropriate Director may designate
155.3(a)(1)	Insure	Ensure
155.4(a)(1)	Insure	Ensure
160.30(a)	Insure	Ensure
162.21(a)(1)	Insure	Ensure
165.3(a)(2)	Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	Whistleblower Office at the Commission’s Washington, DC headquarters.
165.7(b)(1)	to the Commission by mail or fax to Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.	by mail or fax to the Whistleblower Office at the Commission’s Washington, DC headquarters.
165.12(c) (two references)	Office of Consumer Education and Outreach	Market Participants Division
165.15(a)(2)	Office of General Counsel	Legal Division
170.12 (section heading and one reference)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
Pt. 170 Table of Contents (170.12)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
171.2(c)	Commission’s Opinions Section	Legal Division’s Litigation, Enforcement, and Adjudication Section
171.8(a)	Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581	at the Commission’s Washington, DC headquarters
171.8(b)	Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission’s Washington, DC headquarters

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171.28	, the Division of Swap Dealer and Intermediary Oversight and the Division of Clearing and Risk, or the Division of Market Oversight	the Market Participants Division, the Division of Clearing and Risk, the Division of Market Oversight, or the Division of Data
171.31(a)	the Division of Swap Dealer and Intermediary Oversight, and the Division of Clearing and Risk or the Division of Market Oversight days.	the Market Participants Division, the Division of Clearing and Risk, the Division of Market Oversight, or the Division of Data
190.10(a)	Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581	at the Commission’s Washington, DC headquarters
190.10(b)(4)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division
190.10(d)(1)	Division of Swap Dealer and Intermediary Oversight	Market Participants Division

PART 12—RULES RELATING TO REPARATIONS

3. The authority citation for part 12 continues to read as follows:

Authority: 7 U.S.C. 2(a)(12), 12a(5), and 18.

4. In § 12.13, paragraph (b)(3) is revised to read as follows:

§ 12.13 Complaint; election of procedure.

* * * * *

(b) * * *

(3) *Time and place of filing of complaint.* A complaint shall be filed by delivering a copy thereof, in proper form to the Office of Proceedings at the Commission’s Washington, DC headquarters. The complaint may be filed in person, during normal business hours, or by certified mail, or registered mail with return receipt requested. The

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complaint shall not be served on any person or party named therein. Upon the filing of the complaint and the appropriate filing fee, the Proceedings Clerk shall assign a docket number to the matter and shall maintain the official docket.

* * * * *

5. In § 12.18, paragraph (e) is revised to read as follows:

§ 12.18 Answer; election of procedure.

* * * * *

(e) *Time and place of filing an answer.* An answer shall be filed by delivering a copy thereof, in proper form to the Office of Proceedings at the Commission's Washington, DC headquarters. The answer may be filed in person, during normal business hours, or by certified mail, or registered mail with return receipt requested.

* * * * *

6. In § 140.99, paragraph (d)(2) is revised to read as follows:

§140.99 Requests for exemptive, no action and interpretative letters

(d)***

(2)(i)(A) A request for a Letter relating to the provisions of the Act or the Commission's rules, regulations or orders governing designated contract markets, registered swap execution facilities, registered foreign boards of trade, the nature of particular transactions and whether they are exempt or excluded from being required to be traded on one of the foregoing entities, made available for trading determinations, position limits, hedging exemptions, or position aggregation treatment shall be filed with

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(subject to technical corrections)

the Director, Division of Market Oversight, Commodity Futures Trading Commission, at the Commission's Washington, DC headquarters.

(B) A request for a Letter relating to the provisions of the Act or the Commission's rules, regulations (including, but not limited to, those in parts 43, 44, 45, 46 and 49) or orders governing data or reporting, swap data repositories, the reporting of-- or maintenance of records regarding--swap data, swap transaction and pricing data, market positions, market data, daily trade and supporting data reports shall be filed with the Director, Division of Data at the Commission's Washington, DC headquarters. To the extent the subject of a Letter relates to the reporting or recordkeeping of commodity interest data, a copy of the Letter shall be filed with the Division of Data at the foregoing address and submitted pursuant to paragraph (d)(2)(iv) of this section.

Issued in Washington, DC, on November XX, 2020, by the Commission.

Christopher J. Kirkpatrick,

Secretary of the Commission.