

Agency Rule List - Fall 2019

Commodity Futures Trading Commission

Agency	Agenda Stage of Rulemaking	Title	RIN
CFTC	Prerule Stage	Reducing Regulatory Burden: Retrospective Review Under E.O. 13563	3038-AE28
CFTC	Proposed Rule Stage	Position Limits for Commodity Derivatives Contracts	3038-AD99
CFTC	Proposed Rule Stage	Part 45 Swap Data Plan	3038-AE31
CFTC	Proposed Rule Stage	Exempt Swap Execution Facilities	3038-AE40
CFTC	Proposed Rule Stage	Amendments to Required Disclosure of Material Information Concerning a Swap	3038-AE43
CFTC	Proposed Rule Stage	Risk Management for Swap Dealers and Futures Commission Merchants; Amendments	3038-AE59
CFTC	Proposed Rule Stage	Part 43 Swap Data Plan	3038-AE60
CFTC	Proposed Rule Stage	Bankruptcy Rules	3038-AE67
CFTC	Proposed Rule Stage	Amendments to Organizational and Reporting Requirements for Commodity Pool Operators; Technical Corrections	3038-AE74
CFTC	Proposed Rule Stage	Amendments to Regulations Governing Futures Commission Merchants, Introducing Brokers and Retail Foreign Exchange Dealers	3038-AE75
CFTC	Proposed Rule Stage	Margin Requirements for Uncleared Swaps for SD and MSPs; Excluding European Stability Mechanism from Margin Requirements and Initial Margin Requirements Using the Standardized Table	3038-AE77
CFTC	Proposed Rule Stage	Post-Trade Name Give-Up on Swap Execution Facilities	3038-AE79
CFTC	Proposed Rule Stage	Cross-Border Application of the Registration Thresholds and Certain Business Conduct Standards Applicable to Swap Dealers and Major Swap Participants	3038-AE84
CFTC	Proposed Rule Stage	Foreign Futures and Options Transactions	3038-AE86
CFTC	Proposed Rule Stage	Customer Margin Rules Relating to Security Futures	3038-AE88
CFTC	Final Rule Stage	Capital Requirements for Swap Dealers and Major Swap Participants	3038-AD54
CFTC	Final Rule Stage	Swap Execution Facilities and Trade Execution Requirement	3038-AE25
CFTC	Final Rule Stage	Part 49 Certain Swap Data Repository and Data Reporting Requirements (Verification Rulemaking)	3038-AE32
CFTC	Final Rule Stage	Definitions and Clearing Requirement	3038-AE33
CFTC	Final Rule Stage	Amendment to Commission Regulation 3.10(c): Exemption From Registration for Certain Foreign Persons	3038-AE46
CFTC	Final Rule Stage	Revisions to Freedom of Information Act Regulations	3038-AE57
CFTC	Final Rule Stage	Position Limits and Position Accountability for Security Futures Products	3038-AE61

CFTC	Final Rule Stage	Retail Commodity Transactions Involving Virtual Currency	3038-AE62
CFTC	Final Rule Stage	Exemption From Derivatives Clearing Organization Registration	3038-AE65
CFTC	Final Rule Stage	Derivatives Clearing Organization General Provisions and Core Principles	3038-AE66
CFTC	Final Rule Stage	Proposed Revisions to Prohibitions and Restrictions on Proprietary Trading and Certain Interests in, and Relationships With, Hedge Funds and Private Equity Funds (Volcker Rule)	3038-AE72
CFTC	Final Rule Stage	Codification of Relief for Commodity Pool Operators and Commodity Trading Advisors	3038-AE76
CFTC	Final Rule Stage	Annual Adjustment of Civil Monetary Penalties for Inflation--2020	3038-AE82
CFTC	Final Rule Stage	Margin Requirements for Uncleared Swaps for Swap Dealers and Major Swap Participants	3038-AE85
CFTC	Final Rule Stage	Registration With Alternative Compliance for Non-U.S. Derivatives Clearing Organizations	3038-AE87