



## **Open Meeting of the Commission – Thursday, June 4, 2020**

### **AGENDA**

#### **1. Call to Order**

#### **2. Opening Statements**

Chairman Heath P. Tarbert

Commissioner Brian D. Quintenz

Commissioner Rostin Behnam

Commissioner Dawn D. Stump

Commissioner Dan M. Berkovitz

#### **3. Final Rule: Amendments to Registration and Compliance Requirements for Commodity Pool Operators and Commodity Trading Advisors: Prohibiting Exemptions under Regulation 4.13 on Behalf of Persons Subject to Certain Statutory Disqualifications**

##### **Staff Presentation**

Joshua B. Sterling, Division of Swap Dealer and Intermediary Oversight (DSIO)

Elizabeth Groover, DSIO

Amanda Olear, DSIO

##### **Motion**

**Commissioners' Questions and Discussion**

**Vote**

#### **4. Closing Remarks**

#### **5. Adjournment**