

COMMODITY FUTURES TRADING COMMISSION (CFTC)

COMMODITY FUTURES TRADING COMMISSION

17 CFR Ch. I

Regulatory Flexibility Agenda

AGENCY: Commodity Futures Trading Commission.

ACTION: Semiannual regulatory agenda.

SUMMARY: The Commodity Futures Trading Commission, in accordance with the requirements of the Regulatory Flexibility Act, is publishing a semiannual agenda of significant rules which the Commission expects to propose or promulgate over the next year. The Commission welcomes comments from small entities and others on the agenda.

FOR FURTHER INFORMATION CONTACT: Ms. Barbara Webster Black, Special Assistant to the Executive Director, Commodity Futures Trading Commission, 1155 21st Street NW., Washington, DC 20581, (202) 418-5130, bblack@cftc.gov.

SUPPLEMENTARY INFORMATION: The Regulatory Flexibility Act, 5 U.S.C. 601, *et seq.* (RFA), sets forth a number of requirements for agency rulemaking. Among other things, the RFA requires that:

(a) During the months of April and October of each year, each agency shall publish in the **Federal Register** a regulatory flexibility agenda that shall contain:

(1) A brief description of the subject area of any rule which the agency expects to propose or promulgate which is likely to have a significant economic impact on a substantial number of small entities;

(2) A summary of the nature of any such rule under consideration for each subject area listed in the agenda pursuant to paragraph (1), the objectives and legal basis for the issuance of the rule, and an approximate schedule for completing action on any rule for which the agency has issued a general notice of proposed rulemaking; and

(3) The name and telephone number of an agency official knowledgeable about the items listed in paragraph (1). 5 U.S.C. 602(a).

The Commission has prepared an agenda of significant rules which it presently expects may be considered during the course of the next year. These rules may have some impact on small entities.¹ In this regard, section 602(d) of the RFA, 5 U.S.C. 602(d), provides: “Nothing in [section 602] precludes an agency from considering or acting on any matter not included in a regulatory flexibility agenda or requires an agency to consider or act on any matter listed in such agenda.”

The Commission’s spring 2002 regulatory flexibility agenda is set forth below.

Issued in Washington, DC, on February 27, 2002 by the Commission.

Catherine D. Dixon,
Assistant Secretary of the Commission.

Commodity Futures Trading Commission—Proposed Rule Stage

| Sequence Number | Title | Regulation Identification Number |
|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| 3622 | Denomination of Customer Funds and Location of Depositories | 3038-AB31 |
| 3623 | Minimum Financial Requirements for Futures Commission Merchants and Introducing Brokers | 3038-AB64 |
| 3624 | Regulation of Hybrid Instruments | 3038-AB69 |
| 3625 | Use of Broker-Dealers, Depository Institutions, and Farm Crediting System Institutions as Intermediaries on Derivatives Transaction Execution Facilities | 3038-AB70 |
| 3626 | Authority To Modify Security Futures Product Listing Standards | 3038-AB73 |
| 3627 | Compliance Date for Security Futures Products To Be Cleared by a Clearing Agency That Has Linked and Coordinated Clearing With Other Clearing Agencies | 3038-AB74 |
| 3628 | Offering and Selling Security Futures Products Traded on Foreign Boards of Trade to United States Persons | 3038-AB75 |
| 3629 | Requirements for Foreign Stock Index Contracts To Qualify as Non-Narrow-Based Indices | 3038-AB78 |

Commodity Futures Trading Commission—Final Rule Stage

| Sequence Number | Title | Regulation Identification Number |
|-----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| 3630 | Performance Disclosures for Commodity Trading Advisors and Commodity Pool Operators | 3038-AB39 |
| 3631 | Registration Exemptions Pertaining to the Offer and Sale of Foreign Futures and Foreign Options Contracts to Customers Located in the United States | 3038-AB45 |

¹ The Commission published its definition of small entity to be used in connection with rulemaking proceedings on April 30, 1982 (47 FR 18618). Pursuant to that definition, the Commission is not required to list many of the agenda items contained in this regulatory flexibility agenda. See 5 U.S.C. 602(a)(1). Moreover, the Commission has previously certified, pursuant to section 605 of the RFA, 5 U.S.C. 605, that certain items contained in this agenda will not have a significant economic

impact on a substantial number of small entities. Accordingly, the listing of a rule in this regulatory flexibility agenda should not, in any event, be taken as a determination that a rule, when proposed or promulgated, will in fact require a regulatory flexibility analysis. However, the Commission hopes that the publication of an agenda which includes significant rules, regardless of their potential impact on small entities, may serve the public generally by providing an early and

meaningful opportunity to participate in and comment on the formulation of new or revised regulations. In addition to publishing the regulatory flexibility agenda, the Commission also makes available to the public, on a monthly basis, a calendar and, on a weekly basis, posts an advisory on its website (<http://www.cftc.gov>) which lists rules that the Commission is considering or will consider in the near future.

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Commodity Futures Trading Commission—Final Rule Stage (Continued)

| Sequence Number | Title | Regulation Identification Number |
|-----------------|------------------------------------------------------------------------------------------|----------------------------------|
| 3632 | Margin Requirements for Security Futures Products | 3038-AB71 |
| 3633 | Avoidance of Duplicative or Conflicting Regulations Applicable to Dual Registrants | 3038-AB76 |
| 3634 | Cash Settlement and Regulatory Halts Required for Security Futures Products | 3038-AB86 |

Commodity Futures Trading Commission—Long-Term Actions

| Sequence Number | Title | Regulation Identification Number |
|-----------------|------------------------------------------------------------------------------------------------------|----------------------------------|
| 3635 | Public Reporting by Operators of Certain Large Commodity Pools—Regulations 4.7, 4.12, and 4.27 | 3038-AB40 |
| 3636 | Trade Options on Enumerated Agricultural Commodities | 3038-AB61 |
| 3637 | Exemption From Compliance With the Criterion for Linked and Coordinated Clearing | 3038-AB72 |

Commodity Futures Trading Commission—Completed Actions

| Sequence Number | Title | Regulation Identification Number |
|-----------------|----------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| 3638 | Prohibition Against Dual Trading | 3038-AB83 |
| 3639 | Regulation Concerning Conduct of Members and Employees and Former Members and Employees of the Commission, 17 CFR Part 140 | 3038-AB85 |
| 3640 | Listing Standards and Conditions for Trading Security Futures Products | 3038-AB87 |
| 3641 | Reporting Levels for Large Trader Reports; Security Futures Products | 3038-AB88 |

Commodity Futures Trading Commission—Discontinued Entries

| Regulation Identification Number | Title | Date Withdrawn | Comments |
|----------------------------------|--------------------------------------------------------------------------------------------|----------------|-----------|
| 3038-AB79 | Special Procedures To Encourage and Facilitate Bona Fide Hedging by Agricultural Producers | 02/01/2002 | Withdrawn |

Commodity Futures Trading Commission (CFTC)

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3622. DENOMINATION OF CUSTOMER FUNDS AND LOCATION OF DEPOSITORIES**Priority:** Substantive, Nonsignificant**Legal Authority:** 7 USC 1a; 7 USC 2; 7 USC 5; 7 USC 6a to 6d; 7 USC 6f to 6g; 7 USC 12a; 7 USC 19**CFR Citation:** Not Yet Determined**Legal Deadline:** None**Abstract:** The Commission is proposing rules requesting public comment on how to address the risks relating to holding segregated funds offshore or in foreign currencies.**Timetable:**

| Action | Date | FR Cite |
|-------------------------|----------|-------------|
| Concept Release | 12/30/97 | 62 FR 67841 |
| NPRM | 05/00/02 | |
| NPRM Comment Period End | 06/00/02 | |

Regulatory Flexibility Analysis Required: No**Small Entities Affected:** No**Government Levels Affected:** None**Agency Contact:** Michael A. Piracci, Attorney Advisor, Division of Trading and Markets, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581Phone: 202 418-5446
Fax: 202 418-5536
Email: mpiracci@cftc.gov**RIN:** 3038-AB31**3623. MINIMUM FINANCIAL REQUIREMENTS FOR FUTURES COMMISSION MERCHANTS AND INTRODUCING BROKERS****Priority:** Substantive, Nonsignificant**Legal Authority:** 7 USC 6f**CFR Citation:** 17 CFR 1.17**Legal Deadline:** None**Abstract:** The Commission is requesting public comment on proposed amendments to Rule 1.17 that

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would adopt a risk-based capital requirement for futures commission merchants.

Timetable:

| Action | Date | FR Cite |
|----------------------------|----------|---------|
| NPRM | 05/00/02 | |
| NPRM Comment Period End | 06/00/02 | |

Regulatory Flexibility Analysis Required: No

Small Entities Affected: No

Government Levels Affected: None

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RIN: 3038-AB64

3624. REGULATION OF HYBRID INSTRUMENTS

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as amended by PL 106-554, 114 Stat. 2763

CFR Citation: Not Yet Determined

Legal Deadline: None

Abstract: The Commission is required, after consulting with and obtaining the concurrence of the Board of Governors of the Federal Reserve System, to prescribe regulations to govern hybrid instruments if it determines that it is in the public interest and consistent with the Commodity Exchange Act, and the product is not predominantly a banking product under the test enumerated in title IV of the Commodity Futures Modernization Act of 2000.

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 01/00/03 | |

Regulatory Flexibility Analysis Required: No

Small Entities Affected: No

Government Levels Affected: None

Agency Contact: Elizabeth L. Ritter, Acting Deputy General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581
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RIN: 3038-AB69

3625. USE OF BROKER-DEALERS, DEPOSITORY INSTITUTIONS, AND FARM CREDITING SYSTEM INSTITUTIONS AS INTERMEDIARIES ON DERIVATIVES TRANSACTION EXECUTION FACILITIES

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as amended by PL 106-554, 114 Stat. 2763

CFR Citation: Not Yet Determined

Legal Deadline: None

Abstract: The Commission is required to coordinate with the Securities and Exchange Commission, the Secretary of the Treasury and Federal banking regulators (including the Farm Credit Administration) in adopting rules and taking any other appropriate action to implement the provisions of the Commodity Futures Modernization Act of 2000 relating to the use of broker-dealers, depository institutions, and farm credit system institutions as intermediaries on derivatives transaction execution facilities.

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 01/00/03 | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

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RIN: 3038-AB70

3626. AUTHORITY TO MODIFY SECURITY FUTURES PRODUCT LISTING STANDARDS

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 2(a)(1)(D)(v)(I)

CFR Citation: Not Yet Determined

Legal Deadline: None

Abstract: The Commission and the Securities and Exchange Commission may adopt rules to jointly modify

security futures product listing standards requiring that any security underlying the security future, including each component security of a narrow-based security index, be registered pursuant to section 12 of the Securities Exchange Act of 1934, and that the security futures be based upon common stock and such other equity securities as both agencies jointly determine appropriate.

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 08/00/02 | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

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RIN: 3038-AB73

3627. COMPLIANCE DATE FOR SECURITY FUTURES PRODUCTS TO BE CLEARED BY A CLEARING AGENCY THAT HAS LINKED AND COORDINATED CLEARING WITH OTHER CLEARING AGENCIES

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as amended by PL 106-554, 114 Stat. 2763

CFR Citation: Not Yet Determined

Legal Deadline: None

Abstract: The Commission and the Securities and Exchange Commission are required to jointly publish in the Federal Register a notice of the compliance date for requiring security futures products to be cleared by a clearing agency that has in place provisions for linked and coordinated clearing with other clearing agencies that clear security futures products to be purchased on one market and offset on another market that trades such product within 165 days of the compliance date.

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 01/00/03 | |

Regulatory Flexibility Analysis Required: No

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Government Levels Affected: None

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RIN: 3038-AB74

**3628. OFFERING AND SELLING
SECURITY FUTURES PRODUCTS
TRADED ON FOREIGN BOARDS OF
TRADE TO UNITED STATES
PERSONS**

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as
amended by PL 106-554, 114 Stat. 2763

CFR Citation: Not Yet Determined

Legal Deadline: None

Abstract: The Commission and the
Securities and Exchange Commission
are required to jointly issue rules,
regulations, or orders as are necessary
and appropriate to permit the offer and
sale of security futures products traded

on or subject to the rules of a foreign
board of trade to United States persons.

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 07/00/02 | |

**Regulatory Flexibility Analysis
Required:** No

Government Levels Affected: None

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RIN: 3038-AB75

**3629. REQUIREMENTS FOR FOREIGN
STOCK INDEX CONTRACTS TO
QUALIFY AS NON-NARROW-BASED
INDICES**

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as
amended by PL 106-554, 114 Stat. 2763

CFR Citation: Not Yet Determined

Legal Deadline: Other, Statutory,
December 21, 2001, Prior to
12/21/2001.

Within one year after the date of
enactment of the Commodity Futures
Modernization Act of 2000.

Abstract: The Commission and the
Securities and Exchange Commission
are required to jointly adopt rules and
regulations that set forth the
requirements for foreign stock index
contracts to qualify as non-narrow-
based indices.

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 07/00/02 | |

**Regulatory Flexibility Analysis
Required:** No

Government Levels Affected: None

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RIN: 3038-AB78

Commodity Futures Trading Commission (CFTC)

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**3630. PERFORMANCE DISCLOSURES
FOR COMMODITY TRADING
ADVISORS AND COMMODITY POOL
OPERATORS**

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 6n; 7 USC 6o;
7 USC 12a

CFR Citation: 17 CFR 4.25; 17 CFR
4.35

Legal Deadline: None

Abstract: The Commodity Futures
Trading Commission is proposing
amendments to the requirements
concerning the presentation of rate of
return data by commodity trading
advisors and commodity pool
operators. The Commission's proposed
rules address computational and
disclosure matters relating to
participating in commodity trading
advisor programs on a partially funded
basis.

Timetable:

| Action | Date | FR Cite |
|-----------------------------|----------|-------------|
| ANPRM | 06/18/98 | 63 FR 33297 |
| ANPRM Comment Period End | 09/16/98 | |
| NPRM | 08/02/99 | 64 FR 41843 |
| NPRM Comment Period End | 10/01/99 | |
| Final Action | 05/00/02 | |

**Regulatory Flexibility Analysis
Required:** No

Government Levels Affected: None

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RIN: 3038-AB39

**3631. REGISTRATION EXEMPTIONS
PERTAINING TO THE OFFER AND
SALE OF FOREIGN FUTURES AND
FOREIGN OPTIONS CONTRACTS TO
CUSTOMERS LOCATED IN THE
UNITED STATES**

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 2(a)(1)(A); 7
USC 6(b); 7 USC 6c

CFR Citation: 17 CFR 30.1; 17 CFR
30.4; 17 CFR 30.10

Legal Deadline: None

Abstract: The Commission proposes to
codify some of the interpretations and
positions that its staff has taken
regarding registration requirements
under Part 30 of the Commission's
rules, which governs, generally, the
solicitation and sale of foreign futures
and foreign options contracts to
customers located in the United States.
The Commission proposes to modify
Rule 30.4(a) by clarifying that foreign
futures and options brokers, including

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those with U.S. bank branches, are not required to register as futures commission merchants (FCMs) pursuant to Rule 30.4, or seek Rule 30.10 relief, if they fall generally into the following categories: (1) those that carry customer omnibus accounts for U.S. FCMs; (2) those that carry U.S. affiliate accounts that are proprietary to the foreign futures and options broker; and (3) those that carry U.S. accounts that are proprietary to a U.S. FCM. In addition, proposed Rule 30.10(a) will specify representations that must be made by a foreign futures and options broker that has U.S. bank branches in order to obtain a Rule 30.10 comparability exemption or to come within the registration exception of Rule 30.4.

Timetable:

| Action | Date | FR Cite |
|----------------------------|----------|-------------|
| NPRM | 08/26/99 | 64 FR 46613 |
| NPRM Comment Period End | 10/25/99 | |
| Final Action | 06/00/02 | |
| Final Action Effective | 08/00/02 | |

Regulatory Flexibility Analysis Required: No

Small Entities Affected: No

Government Levels Affected: None

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RIN: 3038-AB45

3632. MARGIN REQUIREMENTS FOR SECURITY FUTURES PRODUCTS

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as amended by PL 106-554, 114 Stat. 2763

CFR Citation: 17 CFR 41.43 to 41.48

Legal Deadline: None

Abstract: The Board of Governors of the Federal Reserve System on March 6, 2001 delegated its authority to have the Commission and the Securities and Exchange Commission, within a reasonable period of time after

delegation, jointly prescribe regulations to establish margin requirements, including the establishment of levels of margin, for security futures products.

Timetable:

| Action | Date | FR Cite |
|--------------------------------------------------|----------|-------------|
| NPRM | 10/04/01 | 66 FR 50719 |
| NPRM Comment Period Extended to 12/05/2001 | 11/02/01 | 66 FR 55608 |
| Correction | 11/13/01 | 66 FR 56902 |
| Correction | 11/19/01 | 66 FR 58007 |
| Final Action | 05/00/02 | |
| Final Action Effective | 05/00/02 | |

Regulatory Flexibility Analysis Required: No

Small Entities Affected: No

Government Levels Affected: None

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RIN: 3038-AB71

3633. AVOIDANCE OF DUPLICATIVE OR CONFLICTING REGULATIONS APPLICABLE TO DUAL REGISTRANTS

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 1 et seq, as amended by PL 106-554, 114 Stat. 2763

CFR Citation: Not Yet Determined

Legal Deadline: None

Abstract: The Commission, in consultation with the Securities and Exchange Commission, is required to issue rules, regulations, or orders as are necessary to avoid duplicative or conflicting regulations applicable to dual registrants involving security futures products.

Timetable:

| Action | Date | FR Cite |
|--------------------------------------------------|----------|-------------|
| NPRM | 10/04/01 | 66 FR 50785 |
| NPRM Comment Period Extended to 12/05/2001 | 11/02/01 | 66 FR 55608 |
| Final Action | 05/00/02 | |
| Final Action Effective | 05/00/02 | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

Agency Contact: Elizabeth L. Ritter, Acting Deputy General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581
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RIN: 3038-AB76

3634. CASH SETTLEMENT AND REGULATORY HALTS REQUIRED FOR SECURITY FUTURES PRODUCTS

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 2(a)(1)(D)(i)

CFR Citation: 17 CFR 41.25; 17 CFR 41.1

Legal Deadline: None

Abstract: The Commission and the Securities and Exchange Commission are required to jointly publish in the Federal Register requirements for listing standards for security futures products relating to the cash settlement of contracts and regulatory trading halts.

Timetable:

| Action | Date | FR Cite |
|----------------------------|----------|-------------|
| NPRM | 08/30/01 | 66 FR 45903 |
| NPRM Comment Period End | 10/01/01 | |
| Final Action | 05/00/02 | |
| Final Action Effective | 05/00/02 | |

Regulatory Flexibility Analysis Required: No

Small Entities Affected: No

Government Levels Affected: None

Agency Contact: Richard A. Shilts, Acting Director, Division of Economic Analysis, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581
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RIN: 3038-AB86

Commodity Futures Trading Commission (CFTC)

Long-Term Actions

3635. PUBLIC REPORTING BY OPERATORS OF CERTAIN LARGE COMMODITY POOLS—REGULATIONS 4.7, 4.12, AND 4.27

Priority: Substantive, Nonsignificant

CFR Citation: 17 CFR 4.7; 17 CFR 4.12; 17 CFR 4.27 (Proposed)

Timetable:

| Action | Date | FR Cite |
|----------------------------|----------|-------------|
| NPRM | 04/17/00 | 65 FR 20395 |
| NPRM Comment Period End | 06/16/00 | |
| Next Action Undetermined | | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

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RIN: 3038-AB40

3636. TRADE OPTIONS ON ENUMERATED AGRICULTURAL COMMODITIES

Priority: Substantive, Nonsignificant

CFR Citation: 17 CFR 32.13

Timetable:

| Action | Date | FR Cite |
|----------------------------|----------|-------------|
| NPRM | 12/13/00 | 65 FR 77838 |
| NPRM Comment Period End | 12/28/00 | |
| Next Action Undetermined | | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

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RIN: 3038-AB61

3637. EXEMPTION FROM COMPLIANCE WITH THE CRITERION FOR LINKED AND COORDINATED CLEARING

Priority: Substantive, Nonsignificant

CFR Citation: Not Yet Determined

Timetable:

| Action | Date | FR Cite |
|--------|----------|---------|
| NPRM | 12/00/03 | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

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RIN: 3038-AB72

Commodity Futures Trading Commission (CFTC)

Completed Actions

3638. PROHIBITION AGAINST DUAL TRADING

Priority: Substantive, Nonsignificant

CFR Citation: 17 CFR 41.27

Completed:

| Reason | Date | FR Cite |
|------------------------|----------|-------------|
| Final Action | 03/13/02 | 67 FR 11223 |
| Final Action Effective | 04/12/02 | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

Agency Contact: Rachel F. Berdansky
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RIN: 3038-AB83

Regulatory Flexibility Analysis Required: No

Government Levels Affected: Federal

Agency Contact: Susan Nathan
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RIN: 3038-AB85

3640. LISTING STANDARDS AND CONDITIONS FOR TRADING SECURITY FUTURES PRODUCTS

Priority: Substantive, Nonsignificant

CFR Citation: 17 CFR 41.21 to 41.25

Completed:

| Reason | Date | FR Cite |
|------------------------|----------|-------------|
| Final Action | 11/01/01 | 66 FR 55078 |
| Final Action Effective | 11/01/01 | |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

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RIN: 3038-AB87

3641. • REPORTING LEVELS FOR LARGE TRADER REPORTS; SECURITY FUTURES PRODUCTS

Priority: Substantive, Nonsignificant

Legal Authority: 7 USC 6g; 7 USC 6i; 7 USC 7; 7 USC 7a; 7 USC 12a

CFR Citation: 17 CFR 15.03

Legal Deadline: None

Abstract: The Commission is amending part 15 of its rules to establish reporting levels for security futures products.

Timetable:

| Action | Date | FR Cite |
|----------------------------|----------|-------------|
| NPRM | 12/13/01 | 66 FR 64383 |
| NPRM Comment Period End | 01/14/02 | |
| Final Action | 03/15/02 | 67 FR 11569 |
| Final Action Effective | 03/15/02 | |
| Correction | 03/25/02 | 67 FR 13680 |

Regulatory Flexibility Analysis Required: No

Government Levels Affected: None

Agency Contact: Gary J. Martinaitis, Deputy Associate Director, Market Surveillance Section, Division of Economic Analysis, Commodity Futures Trading Commission
Phone: 202 418-5260
Fax: 202 418-5527**3639. REGULATION CONCERNING CONDUCT OF MEMBERS AND EMPLOYEES AND FORMER MEMBERS AND EMPLOYEES OF THE COMMISSION, 17 CFR PART 140**

Priority: Substantive, Nonsignificant

CFR Citation: 17 CFR 140.735

Completed:

| Reason | Date | FR Cite |
|------------------------|----------|------------|
| Final Action | 02/08/02 | 67 FR 5938 |
| Final Action Effective | 02/08/02 | |

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Completed Actions

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RIN: 3038-AB88

[FR Doc. 02-7691 Filed 05-10-02; 8:45 am]

BILLING CODE 6351-01-S