

<b>Team</b>	<b>Rule Name</b>	<b>Required Rulemaking</b>	<b>CEA Section No.</b>
<b>I</b>	Registration of Swap Dealers ("SDs") and Major Swap Participants ("MSPs")	731	4s(a)-(c)
<b>II</b>	Further definition of swap entity terms - Joint with Securities and Exchange Commission ("SEC")	712(d), 721(a), 721(c)	1a(18), (32),(33), (42), (43), (47) and (49)
<b>III</b>	Business Conduct Standards ("BCS")-SDs and MSPs with Counterparties	731	4s(h)
<b>IV</b>	BCS-Firewall Policies by Futures Commission Merchants ("FCMs") and Introducing Brokers ("IBs"); Chief Compliance Officer for FCMs	732	4d(c)-(d)
<b>IV</b>	BCS-Duties of SDs and MSPs; Firewall Policies by SDs and MSPs; SD and MSP Reporting, Recordkeeping, and Daily Trading Records Requirements; Confirmation, Portfolio Reconciliation, and Portfolio Compression Requirements; Swap Trading Relationship Documentation; Documentation for SDs and MSPs relating to Title II (210(c)(8)); Annual Report by Chief Compliance Officers of SDs and MSPs	731	CEA 4s(f) – Reporting and Recordkeeping CEA 4s(g) – Daily Trading Records CEA 4s(i) – Documentation Standards CEA 4s(j) – Duties CEA 4s(j)(5) – Conflicts of Interest for SDs & MSPs CEA - 4s(k)(3) - Annual Report Requirement
<b>V</b>	Capital	731	4s(e)
<b>V</b>	Margin	731	4s(e)
<b>VI</b>	Treatment of Securities in a Portfolio Margining Account	713(c)	20(c)
<b>VII</b>	Annual Report by DCO Chief Compliance Officers	725(b)	5b(i)
<b>VII</b>	Process for Review of Swaps for Mandatory Clearing	723(a)(3)	2(h)(2)-(3)
<b>IX</b>	Conflict of Interest (180 days) - DCOs, DCMs, SEFs	726, 725(d)	none
<b>XI</b>	End-User Exception to Mandatory Clearing	723(a)(3)	2(h)(7)
<b>XIII</b>	SEFs	733	5h
<b>XVI</b>	Swap Data Repositories	728	21
<b>XVI</b>	Swap data recordkeeping and reporting requirements for pre-enactment and transition swaps	723, 729	2(h)(5), 4r(a)(2)(A), 4r(a)(2)(C)

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<b>XVII</b>	Swap Data Recordkeeping and Reporting Requirements	727, 728, 729	2(a)(13)(G), 21(b), 4r
<b>XVIII</b>	Real-Time Reporting	727	2(a)(13)(A)-(E)
<b>XIX</b>	Agricultural Commodity Definition	723(c)(3)	none
<b>XIX</b>	Agricultural Swaps and Commodity Options	723(c)(3)	none
<b>XXI</b>	Further definition of swap product terms - Joint with SEC	712(a)(8), 712(d), 721(c)	1a(42) and 1a(47)
<b>XXIII</b>	Antimanipulation	753(a)	6(c)
<b>XXV</b>	Whistleblower Provisions	748	23
<b>XXVI</b>	Large Trader Reporting	730	4t