



## U.S. COMMODITY FUTURES TRADING COMMISSION

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**FOR IMMEDIATE RELEASE**

### **CFTC Request Relating to Information Pertaining to the Terrorist Attacks**

To All Futures Industry Entities:

**Washington, DC, October 18, 2001** -- In the wake of the recent terrorist attacks on this country, the Commodity Futures Trading Commission ("CFTC") is asking all futures-related entities (whether or not registered with the CFTC) to cooperate voluntarily with law enforcement authorities in their on-going investigations. Over the last month, futures commission merchants, futures exchanges and other self-regulatory organizations, and other industry groups have responded well to requests to work with law enforcement and to review their records to determine if any transactions or relationships exist or existed with individuals or entities that have been identified by the FBI and other law enforcement agencies. To facilitate these efforts, the CFTC, along with other financial regulators, has worked with law enforcement on a mechanism that will assure the expeditious distribution of a unified list of individuals and entities to a broad range of financial institutions. This list will be referred to as the Control List. Because the Control List contains confidential information, we ask that you disseminate the information within your institution on a need-to-know basis. Under no circumstances should the Control List or the information contained in it be disseminated outside your institution.

Law enforcement will provide the Control List to the CFTC. We will, in turn, send your institution a copy of the Control List through e-mail. We will also send electronic updates to the list on a regular basis. Identical Control Lists (and updates) will also be disseminated by the Federal Reserve Bank of New York to banking institutions and by the Securities and Exchange Commission to securities-related entities. We need your immediate help in starting this system. We request that you designate a senior-level individual within your institution who appreciates the sensitive nature of the investigation and will exercise appropriate discretion to be the point person for all communications relating to the Control List. Please provide this person's name, title, telephone number and, most importantly, e-mail address by Friday, October 26, 2001. Please send this information to the following e-mail address: [suspicious\\_accounts@cftc.gov](mailto:suspicious_accounts@cftc.gov).

Once this information is received, the Control List will be distributed, and your institution will be asked to check its records to determine whether any of the individuals or entities on the Control List have or have had any transactions or relationships with your institution in the United States or elsewhere.

If your firm identifies any transaction or relationship with any of the individuals or entities, you are requested to promptly send an e-mail message to [suspicious\\_accounts@cftc.gov](mailto:suspicious_accounts@cftc.gov) indicating that you have a positive response and the nature of the information. Following that, the CFTC will contact your firm's point person and arrange for receipt of relevant account, trading and other information from your firm.

Please note the following:

- Similar requests have been issued to banking institutions jointly by financial institution supervisors, and to securities-related entities by the SEC. To minimize the burden on those entities subject to regulation by both the SEC and CFTC, such an entity may provide responsive information for the entire entity to either the SEC or the CFTC, after notifying both agencies that it has a positive response. In the alternative, such an entity may choose instead to provide responsive information concerning a particular area of regulatory authority to the appropriate regulatory agency.
- Some futures-related entities are affiliated with banks or similar affiliates that are subject to suspicious activity reporting requirements of bank regulators. In accordance with the suspicious activity reporting rules, those affiliates are also reminded to report any suspicious activity related to any of the names on the Control List by filing a Suspicious Activity Report (SAR) by contacting the Treasury Department's Financial Crimes Enforcement Network (FinCEN) financial institution hotline at 1-866-556-3974 and by filing a written SAR.
- This request is separate from the request issued by the CFTC on September 28, concerning compliance with President Bush's executive order freezing United States assets of and blocking transactions with identified individuals and organizations. The executive order can be viewed at [www.ustreas.gov/ofac/t11ter.pdf](http://www.ustreas.gov/ofac/t11ter.pdf). Questions concerning the asset freeze should be directed to the Treasury Department's Office of Foreign Assets Control (OFAC) at 1-800-540-6322. Information concerning OFAC's Specially Designated Nationals List is available at [www.ustreas.gov/ofac](http://www.ustreas.gov/ofac).

We thank you for all of your efforts in this most important endeavor. Any questions concerning this voluntary request should be directed to [suspicious\\_accounts@cftc.gov](mailto:suspicious_accounts@cftc.gov).