



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