

47. Attach as **Exhibit GG** policies and procedures implemented by the Applicant protect the privacy of any and all swap information that the swap data repository receives from reporting entities.
48. Attach as **Exhibit HH** a description of safeguards, policies, and procedures implemented by the Applicant to prevent the misappropriation or misuse of (a) any confidential information received by the Applicant, including, but not limited to “Section 8 Material” and “SDR Information,” as those terms are defined in Commission Regulation §49.2, about a market participant or any of its customers; and/or (c) intellectual property by Applicant or any person associated with the Applicant for their personal benefit or the benefit of others.
49. Attach **Exhibit II** policies and procedures implemented by the Applicant regarding its use of the SDR information that it receives from a market participant, any registered entity, or any person for non-commercial and/or commercial purposes.
50. Attach as **Exhibit JJ** procedures and a description of facilities of the Applicant for effectively resolving disputes over the accuracy of the transaction data and positions that are recorded in the swap data repository.
51. Attach as **Exhibit KK** policies and procedures relating to the Applicant’s calculation of positions.
52. Attach as **Exhibit LL** policies and procedures that are reasonably designed to prevent any provision in a valid swap from being invalidated or modified through the procedures or operations of the Applicant.
53. Attach as **Exhibit MM** a plan to ensure that the transaction data and position data that are recorded in the Applicant continue to be maintained after the Applicant withdraws from registration as a swap data repository, which shall include procedures for transferring the transaction data and position data to the Commission or its designee (including another registered swap data repository).

### **PART 100—DELIVERY PERIOD REQUIRED**

AUTHORITY: 7 U.S.C. 7a(a)(4) and 12a.

#### **§100.1 Delivery period required with respect to certain grains.**

A period of seven business days is required during which contracts for future delivery in the current delivery month of wheat, corn, oats, barley, rye, or flaxseed may be settled by delivery of the actual cash commodity after trading in such contracts has ceased, for each delivery month after May 1938, on all contract markets on which there is trading in futures in any of such commodities, and such contract markets, and each of them, are directed to provide therefor.

[41 FR 3211, Jan. 21, 1976]

### **PART 140—ORGANIZATION, FUNC- TIONS, AND PROCEDURES OF THE COMMISSION**

#### **Subpart A—Organization**

Sec.

140.1 Headquarters office.

140.2 Regional office—regional coordinators.

#### **Subpart B—Functions**

140.10 The Commission.

140.11 Emergency action by the senior Commissioner available.

140.12 Disposition of business by seriatim Commission consideration.

140.13 Vacancy in position of Chairman.

140.14 Delegation of authority to the Secretary of the Commission.

140.20 Designation of senior official to oversee Commission use of national security information.

140.21 Definitions.

140.22 Procedures.

140.23 General access requirements.

140.24 Control and accountability procedures.

140.61 [Reserved]

140.72 Delegation of authority to disclose confidential information to a contract

## Commodity Futures Trading Commission

## § 140.2

market, registered futures association or self-regulatory organization.

- 140.73 Delegation of authority to disclose information to United States, States, and foreign government agencies and foreign futures authorities.
- 140.74 Delegation of authority to issue special calls for Series 03 Reports and Form 40.
- 140.75 Delegation of authority to the Director of the Division of Clearing and Intermediary Oversight.
- 140.76 Delegation of authority to disclose information in a receivership or bankruptcy proceeding.
- 140.77 Delegation of authority to determine that applications for contract market designation are materially incomplete.
- 140.80 Disclosure of information pursuant to a subpoena or summons.
- 140.81 [Reserved]
- 140.91 Delegation of authority to the Director of the Division of Trading and Markets.
- 140.92 Delegation of authority to grant registrations and renewals thereof.
- 140.93 Delegation of authority to the Director of the Division of Clearing and Intermediary Oversight.
- 140.94 Delegation of authority to the Director of the Division of Clearing and Risk.
- 140.95 Delegation of authority with respect to withdrawals from registration.
- 140.96 Delegation of authority to publish in the FEDERAL REGISTER.
- 140.97 Delegation of authority regarding requests for classification of positions as bona fide hedging.
- 140.98 Publication of no-action, interpretative and exemption letters and other written communications.
- 140.99 Requests for exemptive, no-action and interpretative letters.

### Subpart C—Regulation Concerning Conduct of Members and Employees and Former Members and Employees of the Commission

- 140.735-1 Authority and purpose.
- 140.735-2 Prohibited transactions.
- 140.735-2a Prohibited interests.
- 140.735-3 Non-governmental employment and other outside activity.
- 140.735-4 Receipt and disposition of foreign gifts and decorations.
- 140.735-5 Disclosure of information.
- 140.735-6 Practice by former members and employees of the Commission.
- 140.735-7 Statutory violations applicable to conduct of Commission members and employees.
- 140.735-8 Interpretative and advisory service.

AUTHORITY: 7 U.S.C. 2 and 12a.

## Subpart A—Organization

### § 140.1 Headquarters office.

(a) *General.* The headquarters office of the Commission is located at Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.

(b) [Reserved]

[48 FR 2734, Jan. 21, 1983, as amended at 60 FR 49335, Sept. 25, 1995]

### § 140.2 Regional office—regional coordinators.

Each of the Regional offices described herein functions as set forth in this section under the direction of a Regional Coordinator who, as a collateral duty, oversees the administration of the office and represents the Commission in negotiations with employee union officials and in interactions with external parties. Each regional office has delegated authority for the enforcement of the Act and administration of the programs of the Commission in the particular regions.

(a) The Eastern Regional Office is located at 140 Broadway, New York, New York, 10005 and is responsible for enforcement of the Act and administration of programs of the Commission in the States of Alabama, Connecticut, Delaware, Florida, Georgia, Kentucky, Maine, Maryland, Massachusetts, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Pennsylvania, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, and West Virginia.

(b) The Central Regional Office is located at 525 West Monroe Street, Suite 1100, Chicago, Illinois 60661 and is responsible for enforcement of the Act and administration of programs of the Commission in the States of Illinois, Indiana, Michigan, Ohio and Wisconsin.

(c) The Southwestern Regional Office is located at Two Emanuel Cleaver II Blvd., Suite 300, Kansas City, Missouri 64112, and is responsible for enforcement of the Act and administration of the programs of the Commission in the States of Alaska, Arizona, Arkansas, California, Colorado, Hawaii, Idaho, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma,