

Commodity Futures Trading Commission

§ 10.1

and orders of the Commission thereunder.

PART 10—RULES OF PRACTICE

Subpart A—General Provisions

Sec.

- 10.1 Scope and applicability of rules of practice.
- 10.2 Definitions.
- 10.3 Suspension, amendment, revocation and waiver of rules.
- 10.4 Business address; hours.
- 10.5 Computation of time.
- 10.6 Changes in time permitted for filing.
- 10.7 Date of entry of orders.
- 10.8 Presiding officers.
- 10.9 Separation of functions.
- 10.10 Ex parte communications.
- 10.11 Appearance in adjudicatory proceedings.
- 10.12 Service and filing of documents; form and execution.

Subpart B—Institution of Adjudicatory Proceedings; Pleadings; Motions

- 10.21 Commencement of the proceeding.
- 10.22 Complaint and notice of hearing.
- 10.23 Answer.
- 10.24 Amendments and supplemental pleadings.
- 10.25 Form of pleadings.
- 10.26 Motions and other papers.

Subpart C—Parties and Limited Participation

- 10.31 Parties.
- 10.32 Substitution of parties.
- 10.33 Intervention as a party.
- 10.34 Limited participation.
- 10.35 Permission to state views.
- 10.36 Commission review of rulings.

Subpart D—Prehearing Procedures; Prehearing Conferences; Discovery Depositions

- 10.41 Prehearing conferences; procedural matters.
- 10.42 Discovery.
- 10.43 Stipulations.
- 10.44 Depositions and interrogatories.

Subpart E—Hearings

- 10.61 Time and place of hearing.
- 10.62 Appearances.
- 10.63 Consolidation; separate hearings.
- 10.64 Public hearings.
- 10.65 Record of hearing.
- 10.66 Conduct of the hearing.
- 10.67 Evidence.
- 10.68 Subpoenas.
- 10.69 Reopening hearings.

Subpart F—Post Hearing Procedures; Initial Decisions

- 10.81 Filing the transcript of evidence.
- 10.82 Proposed findings and conclusions; briefs.
- 10.83 Oral arguments.
- 10.84 Initial decision.

Subpart G—Disposition Without Full Hearing

- 10.91 Summary disposition.
- 10.92 Shortened procedure.
- 10.93 Obtaining default order.
- 10.94 Setting aside of default.

Subpart H—Appeals to the Commission; Settlements

- 10.101 Interlocutory appeals.
- 10.102 Review of initial decisions.
- 10.103 Oral argument before the Commission.
- 10.104 Scope of review; Commission decision.
- 10.105 Review by Commission on its own initiative.
- 10.106 Reconsideration; stay pending judicial review.
- 10.107 Leave to adduce additional evidence.
- 10.108 Settlements.
- 10.109 Delegation of authority to Chief of the Opinions Section.

Subpart I—Restitution Orders

- 10.110 Basis for issuance of restitution orders.
- 10.111 Recommendation of procedure for implementing restitution.
- 10.112 Administration of restitution.
- 10.113 Right to challenge distribution of funds to customers.
- 10.114 Acceleration of establishment of restitution procedure.

APPENDIX A TO PART 10—COMMISSION POLICY RELATING TO THE ACCEPTANCE OF SETTLEMENTS IN ADMINISTRATIVE AND CIVIL PROCEEDINGS

AUTHORITY: Pub. L. 93-463, sec. 101(a)(11), 88 Stat. 1391; 7 U.S.C. 2(a)(12).

SOURCE: 41 FR 2511, Jan. 16, 1976, unless otherwise noted.

Subpart A—General Provisions

§ 10.1 Scope and applicability of rules of practice.

These rules of practice are generally applicable to adjudicatory proceedings before the Commodity Futures Trading Commission under the Commodity Exchange Act. These include proceedings for:

(a) Denial, suspension, revocation, conditioning, restricting or modifying of registration as a futures commission merchant, retail foreign exchange dealer, introducing broker, or associated person, floor broker, floor trader, commodity pool operator, commodity trading advisor or leverage transaction merchant pursuant to sections 6(c), 8a(2), 8a(3), 8a(4) and 8a(11) of the Act, 7 U.S.C. 9 and 15, 12a(2), 12a(3), 12a(4) and 12(a)(11), or denial, suspension, or revocation of designation as a contract market pursuant to sections 6(a) and 6(b) of the Act, 7 U.S.C. 8;

(b) The issuance of cease and desist orders pursuant to sections 6b and 6(d) of the Act, 7 U.S.C. 13a and 13b;

(c) Denial of trading privileges pursuant to section 6(c) of the Act, 7 U.S.C. 9 and 15;

(d) The assessment of civil penalties pursuant to sections 6(c) and 6b of the Act, 7 U.S.C. 9 and 15 and 13a;

(e) The issuance of restitution orders pursuant to section 6(c) of the Act, 7 U.S.C. 9; and

(f) Any other proceedings where the Commission declares them to be applicable.

These rules do not apply to:

(g) Investigations conducted pursuant to sections 8 and 16(a) of the Act, 7 U.S.C. 12 and 20(a), except as specifically made applicable by the Rules Relating to Investigations set forth in part 11 of this chapter;

(h) Reparation proceedings under section 14 of the Act, 7 U.S.C. 18, except as specifically made applicable by the Rules Relating to Reparation Proceedings set forth in part 12 of this chapter;

(i) Public rulemaking, except as specifically made applicable by the Rules Relating to Public Rulemaking Procedures sets forth in part 13 of this title. The rules shall be construed to secure the just, speedy and inexpensive determination of every proceeding with full protection for the rights of all parties therein.

[41 FR 2511, Jan. 16, 1976, as amended at 49 FR 8225, Mar. 5, 1984; 57 FR 19597, Apr. 15, 1993; 59 FR 5701, Feb. 8, 1994; 63 FR 55791, Oct. 19, 1998; 64 FR 30903, June 9, 1999; 75 FR 55449, Sept. 10, 2010]

§ 10.2 Definitions.

For purposes of this part:

(a) *Act* means the Commodity Exchange Act, as amended, 7 U.S.C. 1, *et seq.*;

(b) *Adjudicatory proceeding* means a judicial-type proceeding leading to the formulation of a final order;

(c) *Administrative Law Judge* means an administrative law judge appointed pursuant to the provisions of 5 U.S.C. 3105 (provisions of the rules in this part which refer to Administrative Law Judges may be applicable to other Presiding Officers as well, as set forth in § 10.8);

(d) *Administrative Procedure Act* means those provisions of the Administrative Procedure Act, as codified, which are contained in 5 U.S.C. 551 through 559;

(e) *Commission* means the Commodity Futures Trading Commission;

(f) *Complaint* means any document initiating an adjudicatory proceeding, whether designated a complaint or an order for proceeding or otherwise;

(g) *Division of Enforcement* means that office in the Commission that prosecutes a complaint issued by the Commission;

(h) *Hearing* means that part of a proceeding which involves the submission of evidence, either by oral presentation or written submission;

(i) *Proceedings Clerk* means that member of the Commission's staff designated as such in the Commission's Office of Proceedings.

(j) *Order* means the whole or any part of a final procedural or substantive disposition of a matter by the Commission or by the Presiding Officer in a matter other than rulemaking;

(k) *Party* includes a person or agency named or admitted as a party to a proceeding;

(l) *Person* includes an individual, partnership, corporation, association, exchange or other entity or organization;

(m) *Pleading* means the complaint, the answer to the complaint, any supplement or amendment thereto, and any reply that may be permitted to any answer, supplement or amendment;

(n) *Presiding Officer* means a member of the Commission, and Administrative