Commodity Futures Trading Commission

§ 49.8 Procedures for implementing
registered swap data repository
rules.

(a) Request for Commission approval of
rules. An applicant for registration as a
swap data repository may request that

(b) Required information. The notification
must include and be accompanied by:
any relevant agreement(s), including
any preliminary agreements; any
associated changes to relevant cor-
porate documents; a chart outlining
any new ownership or corporate or or-
ganizational structure; a brief descrip-
tion of the purpose and any impact of
the equity interest transfer; and a rep-
resentation from the swap data reposi-
tory that it meets all of the require-
ments of Section 21 of the Act and
Commission regulations adopted there-
derunder. The swap data repository shall
keep the Commission apprised of the
projected date that the transaction re-
sulting in the equity interest transfer
will be consummated, and must provide
to the Commission any new agree-
ments or modifications to the original
agreement(s) filed pursuant to this sec-
tion. The swap data repository shall
notify the Commission of the con-
summation of the transaction on the
day in which it occurs.

(c) Certification. (1) Upon a transfer of
an equity interest of ten percent or
more in a registered swap data reposi-
tory, the registered swap data reposi-
tory shall file with the Secretary of the
Commission at its headquarters in
Washington, DC in a format and in the
manner specified by the Secretary of the
Commission, a certification that the
registered swap data repository meets all of the requirements of Sec-
tion 21 of the Act and Commission reg-
ulations adopted thereunder, no later
than two business days, as defined in
§40.1 of this chapter, following the date
on which the equity interest of ten per-
cent or more was acquired. Such cer-
tification shall state whether changes
to any aspects of the swap data reposi-
tory’s operations were made as a result
of such change in ownership, and in-
clude a description of any such change(s).

(2) The certification required under
this paragraph may rely on and be sup-
ported by reference to an application
for registration as a swap data reposi-
tory or prior filings made pursuant to
a rule submission requirement, along
with any necessary new filings, includ-
ing new filings that provide any and all
material updates of prior submissions.