

**1C350 Chemicals that may be used as precursors for toxic chemical agents.**

**License Requirements**

\* \* \* \* \*

**License Requirement Notes**

1. *Sample Shipments:* \* \* \*

\* \* \* \* \*

e. Annual report requirement. The exporter is required to submit an annual written report for shipments of samples made under this Note 1. The report must be on company letterhead stationery (titled "Report of Sample Shipments of Chemical Precursors" at the top of the first page) and identify the chemical(s), Chemical Abstract Service Registry (C.A.S.) number(s), quantity(ies), the ultimate consignee's name and address, and the date of export for all sample shipments that were made during the previous calendar year. The report must be submitted no later than February 28 of the year following the calendar year in which the sample shipments were made, to: U.S. Department of Commerce, Bureau of Industry and Security, 14th Street and Pennsylvania Ave. NW., Room 2099B, Washington, DC 20230, Attn: "Report of Sample Shipments of Chemical Precursors."

\* \* \* \* \*

■ 13. In Supplement No. 1 to Part 774 (the Commerce Control List), Category 1—Special Materials and Related Equipment, Chemicals, "Microorganisms" and "Toxins," ECCN 1C351 is amended, under the List Based License Exceptions section, by adding an "STA" paragraph following the "CIV" paragraph and, under the List of Items Controlled section, by revising paragraph d.5 in the "Items" paragraph to read as follows:

**1C351 Human and zoonotic pathogens and "toxins", as follows (see List of Items Controlled).**

\* \* \* \* \*

**List Based License Exceptions (See Part 740 for a Description of All License Exceptions)**

LVS: \* \* \*

GBS: \* \* \*

CIV: \* \* \*

*Special Conditions for STA*

STA: (1) Paragraph (c)(1) of License Exception STA (§ 740.20(c)(1)) may be used for items in 1C351.d.1 through 1C351.d.10 and 1C351.d.13 through 1C351.d.19. See § 740.20(b)(2)(vi) for restrictions on the quantity of any one toxin that may be exported in a single shipment and the number of shipments that may be made to any one end user in a single calendar year. Also see the Automated Export System (AES) requirements in § 758.1(b)(4) of the EAR. (2) Paragraph (c)(2) of License Exception STA (§ 740.20(c)(2) of the EAR) may not be used for any items in 1C351.

**List of Items Controlled**

*Related Controls:* \* \* \*

*Related Definitions:* \* \* \*

*Items:*

\* \* \* \* \*

d. \* \* \*

d.5. Clostridium perfringens alpha, beta 1, beta 2, epsilon and iota toxins;

\* \* \* \* \*

■ 14. In Supplement No. 1 to Part 774 (the Commerce Control List), Category 1—Special Materials and Related Equipment, Chemicals, "Microorganisms" and "Toxins," ECCN 1C352 is amended by revising paragraph a.8. in the "Items" paragraph under the List of Items Controlled section to read as follows:

**1C352 Animal pathogens, as follows (see List of Items Controlled).**

\* \* \* \* \*

**List of Items Controlled**

*Related Controls:* \* \* \*

*Related Definitions:* \* \* \*

*Items:*

a. \* \* \*

a.8. Rabies virus and all other members of the Lyssavirus genus;

\* \* \* \* \*

■ 15. In Supplement No. 1 to Part 774 (the Commerce Control List), Category 1—Special Materials and Related Equipment, Chemicals, "Microorganisms" and "Toxins," ECCN 1C353 is amended by revising Technical Note 1, following the "Items" paragraph under the List of Items Controlled section, to read as follows:

**1C353 Genetic elements and genetically modified organisms, as follows (see List of Items Controlled).**

\* \* \* \* \*

**List of Items Controlled**

*Related Controls:* \* \* \*

*Related Definition:* \* \* \*

*Items:*

\* \* \* \* \*

**Technical Notes:**

1. "Genetic elements" include, inter alia, chromosomes, genomes, plasmids, transposons, and vectors, whether genetically modified or unmodified, or chemically synthesized in whole or in part.

\* \* \* \* \*

■ 16. In Supplement No. 1 to Part 774 (the Commerce Control List), Category 2—Materials Processing, ECCN 2B350 is amended by revising the introductory text of paragraph b. in the "Items" paragraph under the List of Items Controlled section to read as follows:

**2B350 Chemical manufacturing facilities and equipment, except valves controlled by 2A226 or 2A292, as follows (see List of Items Controlled).**

\* \* \* \* \*

**List of Items Controlled**

*Related Controls:* \* \* \*

*Related Definition:* \* \* \*

*Items:*

a. \* \* \*

b. Agitators designed for use in reaction vessels or reactors described in 2B350.a, and impellers, blades or shafts designed for such agitators, where all surfaces that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials:

\* \* \* \* \*

■ 17. In Supplement No. 1 to Part 774 (the Commerce Control List), Category 2—Materials Processing, ECCN 2B352 is amended under the "Items" paragraph in the List of Items Controlled section by revising paragraph b. and the Technical Note thereto to read as follows:

**2B352 Equipment capable of use in handling biological materials, as follows (see List of Items Controlled).**

\* \* \* \* \*

**List of Items Controlled**

*Related Controls:* \* \* \*

*Related Definitions:* \* \* \*

*Items:*

a. \* \* \*

b. Fermenters and components as follows:

b.1. Fermenters capable of cultivation of pathogenic micro-organisms or of live cells for the production of pathogenic viruses or toxins, without the propagation of aerosols, having a capacity of 20 liters or greater.

b.2. Components designed for such fermenters, as follows:

b.2.a. Cultivation chambers designed to be sterilized or disinfected in situ;

b.2.b. Cultivation chamber holding devices; or

b.2.c. Process control units capable of simultaneously monitoring and controlling two or more fermentation system parameters (e.g., temperature, pH, nutrients, agitation, dissolved oxygen, air flow, foam control).

**TECHNICAL NOTE:** Fermenters include bioreactors (including single-use (disposable) bioreactors), chemostats and continuous-flow systems.

\* \* \* \* \*

Dated: March 18, 2014.

**Kevin J. Wolf,**

*Assistant Secretary for Export Administration.*

[FR Doc. 2014-06406 Filed 3-25-14; 8:45 am]

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**DEPARTMENT OF COMMERCE**

**National Technical Information Service**

**15 CFR Part 1110**

[Docket Number: 140321001-4001-01]

**RIN 0692-AA21**

**Temporary Certification Program for Access to the Death Master File**

**AGENCY:** National Technical Information Service, U.S. Department of Commerce.

**ACTION:** Interim final rule.

**SUMMARY:** The National Technical Information Service is issuing this interim final rule to establish a certification program under which persons may obtain immediate access to the publicly available Death Master File (DMF), pursuant to Section 203 of the Bipartisan Budget Act of 2013 (Act). This rule sets forth temporary requirements to become a certified person, provides that certified persons will be subject to periodic and unscheduled audits, and provides for the imposition of penalty upon any person who discloses or uses DMF information in a manner not in accordance with the Act. This rule also provides for the charging of fees for the certification program.

**DATES:** This rule is effective on March 26, 2014. Comments are due on this interim final rule on or before 5:00 p.m. Eastern time April 25, 2014.

**ADDRESSES:** National Technical Information Service, 5301 Shawnee Road, Alexandria, VA 22312. Written comments must be submitted to John Hounsell by email at [jhounsell@ntis.gov](mailto:jhounsell@ntis.gov), or in paper form at NTIS, 5301 Shawnee Road, Alexandria, VA 22312.

**FOR FURTHER INFORMATION CONTACT:** John Hounsell at [jhounsell@ntis.gov](mailto:jhounsell@ntis.gov), by mail at NTIS, 5301 Shawnee Road, Alexandria, VA 22312, or by telephone at 703-605-6184. Information about the DMF made available to the public by NTIS may be found at <https://dmf.ntis.gov>.

**SUPPLEMENTARY INFORMATION:**

**Background**

This interim final rule establishes a temporary certification program for persons who seek access to the Death Master File (DMF), as defined in Section 203 of the Bipartisan Budget Act of 2013 (Pub. L. 113-67) (Act). The Act prohibits disclosure of DMF information during the three-calendar-year period following an individual's death unless the person requesting the information has been certified under a program established by the Secretary of Commerce. The Act directs the Secretary of Commerce to establish a certification program for such access to the DMF. Section 203, "Restriction on Access to the Death Master File," requires the establishment of a fee-based certification program for allowable uses of DMF data for any deceased individual within three calendar years of the individual's death. Authority to carry out Section 203 has been delegated by the Secretary of Commerce

to the Director, National Technical Information Service (NTIS).

NTIS published a Request for Information and Advance Notice of Public Meeting on the Certification Program for Access to the Death Master File (RFI) at 79 FR 11735, available at <http://www.gpo.gov/fdsys/pkg/FR-2014-03-03/pdf/2014-04584.pdf>. The public meeting was held March 4, 2014, from 9:00 a.m. to 12:00 p.m. Eastern time at the United States Patent and Trademark Office, Madison Building West, 600 Dulany Street, Alexandria, VA 22314. The public meeting was also webcast. Written comments received in response to the RFI, and a transcription of oral comments made and comments submitted via webcast at the public meeting, may be viewed at <http://dmf.ntis.gov/>.

In response to the RFI, NTIS received approximately 70 written comments, as well as oral and webcast comments at the public meeting. Among the commenters, 12 were insurance companies, 9 were industry associations, 6 were banks or credit services, 4 were pension funds, approximately 20 were various types of service providers, and the rest were individuals, including 8 genealogists, 6 investigators and 3 medical researchers. Among the insurance companies and service providers, the most frequent comment received was that without continued access to the DMF, these organizations would be unable to prevent various types of fraud. For example, life insurance companies commented that they use the DMF to ensure that they are paying a valid claim to proper beneficiaries. Other commenters stressed that their continued access to the DMF is necessary to prevent credit card fraud. Others commented that they require continued access to the DMF to complete timely research to locate legal heirs to estates and unclaimed property. The statute and the temporary certification program established under this interim final rule permit all entities that meet the certification requirements to have access to the Limited Access DMF (as defined in the rule). In contrast, others commented that the nature of their use of the DMF was such that the Act should not be applied to them in accessing the DMF; however, the Act does not provide for exceptions.

**Section 203, "Restriction on Access to the Death Master File"**

Section 203(a) of the Act directs that the Secretary of Commerce (Secretary) shall not disclose to any person information contained on the Death Master File with respect to any deceased

individual at any time during the three-calendar-year period beginning on the date of the individual's death, unless such person is certified under a program established under the Act.

Section 203(b)(1) of the Act directs the Secretary to establish a program to certify persons who are eligible to access the information contained on the Death Master File, and to perform periodic and unscheduled audits of certified persons to determine compliance with the program.

Under Section 203(b)(2) of the Act, a person shall not be certified under the program unless such person certifies that access to the information is appropriate because such person (A) has (i) a legitimate fraud prevention interest, or (ii) a legitimate business purpose pursuant to a law, governmental rule, regulation, or fiduciary duty, and (B) has systems, facilities, and procedures in place to safeguard such information, and experience in maintaining the confidentiality, security, and appropriate use of such information, pursuant to requirements similar to the requirements of section 6103(p)(4) of the Internal Revenue Code of 1986 (IRC), and (C) agrees to satisfy the requirements of such section 6103(p)(4) as if such section applied to such person.

Section 203(b)(3)(A) of the Act directs the Secretary to charge fees to recover all costs of evaluating applications for certification and auditing, inspecting, and monitoring certified persons under the program. Section 203(b)(3)(B) of the Act requires the Secretary to report annually to the Congress on the fees collected and the cost of administering the program.

Section 203(c)(1) of the Act provides that any certified person who receives DMF information as defined in Section 203(a), and who (A) discloses such information to any person other than a person meeting the requirements of subparagraphs (A), (B), and (C) of subsection (b)(2), or (B) discloses such information to any person who uses the information for any purpose not listed under subsection (b)(2)(A) or who further discloses the information to a person who does not meet such requirements, or (C) uses any such information for any purpose not listed under subsection (b)(2)(A), shall pay a penalty of \$1,000 for each such disclosure or use, as shall any person to whom such information is disclosed who further discloses or uses such information as described in the preceding subparagraphs. Under Section 203(c)(2), there is a \$250,000 limit on the total penalty that can be imposed on any person for any calendar year, unless

the Secretary determines the violations to have been willful or intentional.

Section 203(d) of the Act defines the term "Death Master File" to mean information on the name, social security account number, date of birth, and date of death of deceased individuals maintained by the Commissioner of Social Security, other than information that was provided to such Commissioner under section 205(r) of the Social Security Act (42 U.S.C. 405(r)).

Under Section 203(e)(1) of the Act, the Freedom of Information Act (FOIA) shall not apply to compel any Federal agency to disclose information contained on the Death Master File with respect to any deceased individual at any time during the three-calendar-year period beginning on the date of the individual's death to anyone other than a certified person. Section 203(e)(2) of the Act provides that Section 203 shall be considered a statute under FOIA section 552(b)(3).

Under Section 203(f) of the Act, Section 203 takes effect 90 days after the date of the enactment, while Section 203(e) (the FOIA provision) takes effect upon enactment.

As noted in the RFI, several Members of Congress described their understanding of the purpose and meaning of Section 203 during Congressional debate on the Joint Resolution which became the Act, and citations to those Member statements are provided in the RFI. The RFI also provides background on the component of the DMF covered by Section 203, which originates from the Social Security Administration.

In addition, to comply with the certification program requirements established under this interim final rule, certified persons who receive Limited Access DMF may not themselves redistribute such information in an unrestricted manner, including over the Internet.

The interim final rule defines "Persons" to include corporations, companies, associations, firms, partnerships, societies, and other stock companies, as well as individuals, but does not include Executive departments or agencies. Executive departments or agencies will not have to complete the Certification Form as set forth in the rule. Those working on behalf of and authorized by Executive departments or agencies may access the Limited Access DMF through that sponsoring Executive department or agency. If, however, an Executive department or agency wishes those working on its behalf to access the Limited Access DMF directly from NTIS, then those working on behalf of

that Executive department or agency will be required to complete and submit the Certification Form as set forth in the rule and enter into a subscription agreement with NTIS in order to access the Limited Access DMF.

This interim final rule contains general provisions regarding implementation of the Act and establishes the interim procedure for becoming a certified person. These general provisions and the interim procedure are effective immediately. Due to the extremely important issues raised by potential misuse of the DMF, including concerns about availability of sensitive information transmitted across the Internet, and the statutory deadline for establishing a certification program, NTIS is issuing this interim final rule. NTIS plans to continue to refine the certification program, consistent with the Act through a separate notice and comment rulemaking process, to be initiated as soon as possible.

#### *Additional Information*

##### **Executive Order 12866**

This rule has been determined to be significant of Executive Order 12866.

##### **Executive Order 12612**

This rule does not contain policies with Federalism implications sufficient to warrant preparation of a Federalism assessment under Executive Order 12612.

##### **Administrative Procedure Act**

NTIS finds good cause to waive the notice and comment provisions in 5 U.S.C 553(b)(B) because failure to do so would be contrary to the public interest. Under Section 203 of the Act, on March 26, 2014, the Secretary must cease any and all disclosure of DMF data within three calendar years of a person's death unless the recipient of the data is certified. Many of the current subscribers of the DMF data, such as insurance companies and credit card companies, use the data for fraud prevention purposes. If this rule is not effective by March 26, 2014, these companies will no longer be able to receive data necessary to prevent fraud in their industry. At the public meeting NTIS held on March 4, commenters explained why they thought their use of the DMF was legitimate under the Act, and emphasized the necessity of uninterrupted access to the DMF for their business. Comments were also received regarding the content of a certification form that might be used in conjunction with a certification program under the Act. Given the statutory deadline associated with implementing

the Act, it was not possible to address all of the arguments and comments presented before promulgating this interim final rule. Waiving the notice and comment requirements of the Administrative Procedure Act to make this rule effective immediately will allow entities who use the DMF for legitimate purposes, as defined in the Act, to continue to access the data through certification of their compliance with the requirements of Section 203.

##### **Regulatory Flexibility Act**

Because notice and comment are not required under 5 U.S.C. 553, or any other law, the analytical requirements of the Regulatory Flexibility Act (5 U.S.C. 601 et seq.) are inapplicable. As such, a regulatory flexibility analysis is not required, and none has been prepared.

##### **Paperwork Reduction Act**

This interim final rule contains a collection of information requirement subject to the Paperwork Reduction Act and which has been approved by the Office of Management and Budget (OMB) under Control Number 0692-0013. This interim final rule requires that applicants certify their compliance with the requirements of Section 203 of the Act.

Notwithstanding any other provision of the law, no person is required to, nor shall any person be subject to penalty for failure to comply with a collection of information, subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

##### **National Environmental Policy Act**

This rule will not significantly affect the quality of the human environment. Therefore, an environmental assessment or Environmental Impact Statement is not required to be prepared under the National Environmental Policy Act of 1969.

##### **List of Subjects in 15 CFR Part 1110**

Certification program, Fees, Imposition of penalty.

Dated: March 21, 2014.

**Bruce Borzino,**  
*Director.*

For reasons set forth in the preamble, the National Technical Information Service amends 15 CFR chapter XI to add a new part 1110, as follows:

#### **PART 1110—CERTIFICATION PROGRAM FOR ACCESS TO THE DEATH MASTER FILE**

**Subpart A—General**  
Sec.

- 1110.1 Description of rule; applicability.  
1110.2 Definitions used in this part.

#### Subpart B—Certification Program

- 1110.100 Scope.  
1110.101 Submission of Certification.  
1110.102 Certification.

#### Subpart C—Penalties and Audits

- 1110.200 Imposition of Penalty.  
1110.201 Audits.

#### Subpart D—Fees

- 1110.300 Fees.

**Authority:** Pub. L. 113–67, Sec. 203.

#### Subpart A—General

##### § 1110.1 Description of rule; applicability.

(a) The Bipartisan Budget Act of 2013 (Pub. L. 113–67), Section 203, provides for the establishment of a fee-based certification program for persons who seek access to the Death Master File (DMF), and prohibits disclosure of DMF information for an individual during the three-calendar-year period following the individual's death, unless the person requesting the information has been certified.

(b) This part is applicable to any Person seeking access to a Limited Access DMF, as defined in this part.

##### § 1110.2 Definitions used in this part.

The following definitions are applicable to this part:

*Act.* The Bipartisan Budget Act of 2013 (Pub. L. 113–67).

*Certified Person.* A Person who has been certified under the certification program established under this part and is eligible to access the Limited Access DMF.

*DMF.* Death Master File.

*Death Master File.* Information on the name, social security account number, date of birth, and date of death of deceased individuals maintained by the Commissioner of Social Security, other than information that was provided to such Commissioner under section 205(r) of the Social Security Act (42 U.S.C. 405(r)).

*Limited Access DMF.* The DMF product made available by NTIS which includes DMF with respect to any deceased individual at any time during the three-calendar-year period beginning on the date of the individual's death.

*NTIS.* The National Technical Information Service, United States Department of Commerce.

*Open Access DMF.* The DMF product made available by NTIS which does not include DMF with respect to any deceased individual at any time during the three-calendar-year period beginning on the date of the individual's death.

*Person.* This term includes corporations, companies, associations, firms, partnerships, societies, and joint stock companies, as well as individuals.

#### Subpart B—Certification Program

##### § 1110.100 Scope.

(a) Any Person desiring access to the Limited Access DMF must certify in accordance with this part. Upon acceptance of a Person's certification by NTIS, such Person will be a Certified Person, will be entered into the publicly available list of Certified Persons maintained by NTIS, and will be eligible to access the Limited Access DMF made available by NTIS through subscription.

(b) Certification under this part is not required for any Person to access the Open Access DMF made available by NTIS; however, a Certified Person may also access the Open Access DMF.

##### § 1110.101 Submission of Certification.

In order to become certified under the certification program established under this part, a Person must submit a completed certification statement, using the form NTIS FM161 with OMB Control Number 0692–0013, and its accompanying instructions at <https://dmf.ntis.gov>.

##### § 1110.102 Certification.

In order to be certified to be eligible to access the Limited Access DMF under the certification program established under this part, a Person shall certify, in the manner set forth in this part and pursuant to section 1001 of title 18, United States Code, that

(a) Such Person's access to the Limited Access DMF is appropriate because:

(1) Such Person has a legitimate fraud prevention interest, or has a legitimate business purpose pursuant to a law, governmental rule, regulation, or fiduciary duty, and shall specify the basis for so certifying;

(2) Such Person has systems, facilities, and procedures in place to safeguard the accessed information, and experience in maintaining the confidentiality, security, and appropriate use of accessed information, pursuant to requirements similar to the requirements of section 6103(p)(4) of the Internal Revenue Code of 1986;

(3) Such Person agrees to satisfy the requirements of such section 6103(p)(4) as if such section applied to such Person;

(4) Such Person shall not, with respect to DMF of any deceased individual at any time during the three-calendar-year period beginning on the date of the individual's death:

(i) Disclose such deceased individual's DMF to any person other than a person who meets the requirements of paragraphs (a)(1) through (3) of this section;

(ii) Disclose such deceased individual's DMF to any person who uses the information for any purpose other than a legitimate fraud prevention interest or a legitimate business purpose pursuant to a law, governmental rule, regulation, or fiduciary duty;

(iii) Disclose such deceased individual's DMF to any person who further discloses the information to any person other than a person who meets the requirements of paragraphs (a)(1) through (3) of this section; or

(iv) Use any such deceased individual's DMF for any purpose other than a legitimate fraud prevention interest or a legitimate business purpose pursuant to a law, governmental rule, regulation, or fiduciary duty,

(b) The certification required in this section shall state whether such Person intends to disclose such deceased individual's DMF to any person, and if so, shall state the manner of such disclosure and how such Person will ensure compliance with paragraphs (a)(4)(i) through (iii) of this section.

#### Subpart C—Penalties and Audits

##### § 1110.200 Imposition of Penalty.

(a) *General.* (1) Any Person certified under this part who receives DMF including information about any deceased individual at any time during the three-calendar-year period beginning on the date of the individual's death, and who during such three-calendar-year period:

(i) Discloses such deceased individual's DMF information to any person other than a person who meets the requirements of § 1110.102(a)(1) through (3);

(ii) Discloses such deceased individual's DMF to any person who uses the information for any purpose other than a legitimate fraud prevention interest or a legitimate business purpose pursuant to a law, governmental rule, regulation, or fiduciary duty;

(iii) Discloses such deceased individual's DMF to any person who further discloses the information to any person other than a person who meets the requirements of § 1110.102(a)(1) through (3); or

(iv) Uses any such deceased individual's DMF for any purpose other than a legitimate fraud prevention interest or a legitimate business purpose pursuant to a law, governmental rule, regulation, or fiduciary duty

(2) Any Person to whom such information is disclosed, whether or not such Person is certified under this part, who further discloses or uses such information as described in paragraphs (a)(1)(i) through (iv) of this section shall pay to the General Fund of the United States Department of the Treasury a penalty of \$1,000 for each such disclosure or use.

(b) *Limitation on Penalty.* The total amount of the penalty imposed under this part on any Person for any calendar year shall not exceed \$250,000.

**§ 1110.201 Audits.**

Any Person certified under this part shall, as a condition of certification, agree to be subject to audit by NTIS to determine the compliance by such Person with the requirements of this part. NTIS may conduct periodic and unscheduled audits of the systems, facilities, and procedures of any Certified Person relating to such Certified Person's access to, and use and distribution of, Limited Access DMF, during regular business hours.

**Subpart D—Fees**

**§ 1110.300 Fees.**

Fees for the costs associated with evaluating applications for certification of Certified Persons under this part are as follows:

Processing of Certification Form and maintenance of Registry of Certified Persons .....	\$200.00
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[FR Doc. 2014-06701 Filed 3-25-14; 8:45 am]

BILLING CODE 3510-04-P

**COMMODITY FUTURES TRADING COMMISSION**

**17 CFR Part 49**

**RIN 3038-AE14**

**Swap Data Repositories—Access to SDR Data by Market Participants**

**AGENCY:** Commodity Futures Trading Commission.

**ACTION:** Interim final rule; request for comment.

**SUMMARY:** The Commodity Futures Trading Commission (“Commission” or “CFTC”) is adopting an interim final rule to clarify the scope of permissible access by market participants to swap data and information maintained by a registered swap data repository (“SDR”). Specifically, the interim final rule clarifies that, for a swap that is executed anonymously on a swap execution facility or designated contract market, and then cleared in accordance with the

Commission’s straight-through processing requirements, the data and information maintained by a registered SDR that may be accessed by either counterparty to the swap does not include the identity of the other counterparty to the swap, the identity of the other counterparty’s clearing member for the swap, or such counterparty’s or clearing member’s legal entity identifier.

**DATES:** *Effective date:* This interim final rule is effective March 26, 2014.

*Comment date:* Comments on this interim final rule must be submitted on or before April 25, 2014.

**ADDRESSES:** You may submit comments, identified by RIN number 3038-AE14, by any of the following methods:

- *Agency Web site—via Comments Online process:* <http://comments.cftc.gov>. Follow the instructions for submitting comments through the Web site.

- *Mail:* Melissa D. Jurgens, Secretary of the Commission, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581.

- *Hand delivery/courier:* Same as Mail, above.

- *Federal eRulemaking Portal:* <http://www.regulations.gov>. Follow the instructions for submitting comments through the portal.

Please submit your comments using only one method.

All comments must be submitted in English, or if not, accompanied by an English translation. Comments will be posted as received to <http://www.cftc.gov>. You should submit only information that you wish to make available publicly. If you wish the Commission to consider information that you believe is exempt from disclosure under the Freedom of Information Act, a petition for confidential treatment of the exempt information may be submitted according to the procedures established in § 145.9 of the Commission’s regulations.<sup>1</sup>

The Commission reserves the right, but shall have no obligation, to review, pre-screen, filter, redact, refuse, or remove any or all of your submission from <http://www.cftc.gov> that it may deem to be inappropriate for publication, such as obscene language. All submissions that have been redacted or removed that contain comments on the merits of this action will be retained in the public comment file and will be considered as required under the Administrative Procedure Act and other

applicable laws, and may be accessible under the Freedom of Information Act.

**FOR FURTHER INFORMATION CONTACT:** Nora Flood, Attorney Advisor, (202) 418-5354, [nflood@cftc.gov](mailto:nflood@cftc.gov), or Laurie Gussow, Special Counsel, (202) 418-7623, [lgussow@cftc.gov](mailto:lgussow@cftc.gov), Division of Market Oversight, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW., Washington, DC 20581.

**SUPPLEMENTARY INFORMATION:**

**Table of Contents**

- I. Background
  - A. Dodd-Frank Act Section 728; CEA Section 21
  - B. Access to SDR Data by Market Participants
- II. Scope of Permissible Access to SDR Data and Information by Counterparties to Anonymously Executed, Cleared Swaps
  - A. Discussion
  - B. Amendment to 17 CFR 49.17(f)(2)
- III. Request for Comment on Interim Final Rule
- IV. Related Matters
  - A. Administrative Procedure Act
  - B. Paperwork Reduction Act
  - C. Regulatory Flexibility Act
  - D. Cost Benefit Considerations

**I. Background**

*A. Dodd-Frank Act Section 728; CEA Section 21*

On July 21, 2010, President Obama signed into law the Dodd-Frank Wall Street Reform and Consumer Protection Act (“Dodd-Frank Act”).<sup>2</sup> Title VII of the Dodd-Frank Act amended the Commodity Exchange Act (“CEA” or “Act”)<sup>3</sup> to establish a comprehensive new regulatory framework for swaps. The legislation was enacted to reduce systemic risk, increase transparency, and promote market integrity within the financial system by, among other things: (1) Providing for the registration and comprehensive regulation of swap dealers and major swap participants; (2) imposing clearing and trade execution requirements on standardized derivative products; (3) creating a rigorous recordkeeping and data reporting regime with respect to swaps, including real-time public reporting; and (4) enhancing the Commission’s rulemaking and enforcement authorities over all registered entities, intermediaries and swap counterparties subject to the Commission’s oversight.

Section 728 of the Dodd-Frank Act added new section 21 to the CEA, establishing swap data repositories, or “SDRs”, as a new category of Commission registered entity. The SDR

<sup>1</sup> See 17 CFR 145.9.

<sup>2</sup> Public Law 111-203, 124 Stat. 1376 (2010).

<sup>3</sup> 7 U.S.C. 1 *et seq.*