



## DODD-FRANK RULEMAKING CHART

#	Entity	Category	Proposed Rule Summary	Federal Register Notice, Meetings , Related Docs	Comments Due Date	Final Rule/Report
1	CFTC/ NFA	Forex	Performance of Registration Functions by NFA With Respect to Retail Foreign Exchange Dealers and Associated Persons	- <a href="#">Notice &amp; order</a>		09/10/10
2	SEC/ CFTC	SB SEF	Joint SEC-CFTC Roundtable to Discuss Swap Execution Facilities and Security-Based Swap Execution Facilities Wednesday, September 15, 2010	- <a href="#">Webcast Panel 1</a> - <a href="#">Webcast Panel 2</a> - <a href="#">Transcript</a>		09/15/10
3	SEC	Flash Crash	<a href="#">Report: Joint SEC-CFTC Flash Crash</a>	-		9/30/10
4	CFTC	Forex	Regulation of Off-Exchange Retail Foreign Exchange Transactions and Intermediaries; Final Rule	- <a href="#">Final rules</a>		10/18/10
5	SEC	Whistle blower	<a href="#">Annual Report: Whistleblower Program</a>	-		10/20/10
6	SEC	SBS	Reporting of Security-Based Swap Transaction Data (Interim final temporary rule; Request for comments)	- <a href="#">Interim final temp rule</a>	12/20/10	
7	SEC	Study	Study – Obligations of Brokers, Dealers, Investment Advisers <a href="#">Study on IAs and BDs - 1/21/11</a> , <a href="#">Paredes &amp; Casey Statements re Study</a> <a href="#">Study on Enhancing IA Exams</a> , <a href="#">Commissioner Walters Statement on Study</a>	- <a href="#">Request for Comment</a> - <a href="#">Comments</a> - <a href="#">Press Release</a>	08/30/10	1/21/11 & 1/19/11
8	CFTC /SEC	Swap Dealer & MSP	Definitions Contained in Title VII of Dodd-Frank Wall Street Reform and Consumer Protection Act. Comment Open Date 8/20/10.	- <a href="#">ANOPR</a> - <a href="#">Comments</a>	09/20/10	
9	CFTC	ECMs	Orders Regarding the Treatment of Petitions Seeking Grandfather Relief for Exempt Commercial Markets and Exempt Boards of Trade. Comment Open Date 9/16/2010.	- <a href="#">Notice; Final Orders</a> - <a href="#">Comments</a>	10/18/10	
10	CFTC	ECMs	Notice Regarding the Treatment of Petitions Seeking Grandfather Relief for Trading Activity Done in Reliance Upon Section 2(h)(1)-(2) of the Commodity Exchange Act. Comment Open Date 9/16/10.	- <a href="#">Notice</a> - <a href="#">Comments</a>	10/18/10	

- Comment Period Expired
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11	CFTC	Particular Products	Agricultural Swaps. Comment Open Date 9/28/10	<ul style="list-style-type: none"> <li>- <a href="#">ANOPR</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Transcript (10/19/2010)</a></li> <li>-</li> </ul>	10/28/10	
12	CFTC	Data	Interim Final Rule for Reporting Pre-Enactment Swap Transactions. Comment Open Date 10/14/2010.	<ul style="list-style-type: none"> <li>- <a href="#">Interim final rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/01/2010)</a></li> </ul>	11/15/10	
13	CFTC	Clearing	Requirements for Derivatives Clearing Organizations, Designated Contract Markets, and Swap Execution Facilities Regarding the Mitigation of Conflicts of Interest. Comment Open Date 10/18/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Transcript (10/01/2010)</a></li> <li>- <a href="#">Fact Sheet</a></li> </ul>	11/17/10	
14	SEC	Clearing	Ownership Limitations and Governance Requirements for Security-Based Swap Clearing Agencies, Security-Based Swap Execution Facilities, and National Securities Exchanges With Respect to Security-Based Swaps Under Regulation MC. Comment Open Date 10/26/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">8/20/10 CFTC-SEC Roundtable</a></li> </ul>	11/26/10	
15	CFTC	Particular Products	Agricultural Commodity Definition. Comment Open Date 10/26/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/19/2010)</a></li> </ul>	11/26/10	
16	TREAS	Forex	Determination Exempting Foreign Exchange Swaps and Forwards from Definition of Swap. Comment Request Date 10/28/10.	<ul style="list-style-type: none"> <li>- <a href="#">Notice; Request for Comment</a></li> <li>- <a href="#">Comments</a></li> </ul>	11/29/10	

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#	Entity	Category	Proposed Rule Summary	Federal Register Notice, Meetings , Related Docs	Comments Due Date	Final Rule/Report
17	CFTC	Other Titles	Removing Any Reference to or Reliance on Credit Ratings in Commission Regulations; Proposing Alternatives to the Use of Credit Ratings. Comment Open Date 11/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/26/10)</a></li> </ul>	12/02/10	
18	CFTC	Position Limits	Position Reports for Physical Commodity Swaps. Comment Open Date 11/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/19/2010)</a></li> </ul>	12/02/10	
19	CFTC	Forex	Investment of Customer Funds and Funds Held in an Account for Foreign Futures and Foreign Options Transactions. Comment Open Date 11/3/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Transcript (10/26/10)</a></li> </ul>	12/03/10	
20	CFTC	Clearing	Financial Resources Requirements for Derivatives Clearing Organizations. Comment Open Date 10/14/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/01/2010)</a></li> </ul>	12/13/10	
21	SEC	Whistle blower	Proposed Rules for Implementing the Whistleblower Provisions of Section 21F of the Securities Exchange Act of 1934	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> </ul>	12/17/10	
22	CFTC	Study	Public Input for the Interagency Study Regarding the Oversight of Existing and Prospective Carbon Markets. Comment Open Date 11/26/10.	<ul style="list-style-type: none"> <li>- <a href="#">Notice</a></li> <li>- <a href="#">Comments</a></li> </ul>	12/17/10	
23	SEC	Enforcement	Prohibition Against Fraud, Manipulation, and Deception in Connection With Security-Based Swaps. Comment Open Date 11/8/20.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet &amp; Meeting Link 11/3/10</a></li> </ul>	12/23/10	

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#	Entity	Category	Proposed Rule Summary	Federal Register Notice, Meetings , Related Docs	Comments Due Date	Final Rule/Report
24	CFTC	Trading	Business Affiliate Marketing and Disposal of Consumer Information Rules. Comment Open Date 10/27/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Transcript (10/19/10)</a></li> </ul>	12/27/10	
25	CFTC	Data	Privacy of Consumer Financial Information; Conforming Amendments Under Dodd-Frank Act. Comment Open Date 10/27/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Transcript (10/19/10)</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> </ul>	12/27/10	
26	CFTC / SEC	Study	Acceptance of Public Submissions on a Study Mandated by the Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 719(b) Algorithms - Study - requiring the derivatives industry to adopt standardized computer-readable algorithmic descriptions which may be used to describe complex and standardized financial derivatives." Comment Open Date 12/9/10.	<ul style="list-style-type: none"> <li>- <a href="#">Request for Comment</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">SEC-CFTC Roundtable Disruptive Trading 12/2/10</a></li> </ul>	12/31/10	
27	CFTC	Trading	Provisions Common to Registered Entities (Part 40). Comment Open Date 11/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Meeting Transcript (10/26/2010)</a></li> </ul>	01/03/11	
28	CFTC	Enforcement	Prohibition of market Manipulation. Comment Open Date 11/3/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/26/2010)</a></li> </ul>	01/03/11	

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29	CFTC	Clearing	Process for Review of Swaps for Mandatory Clearing. Comment Open Date 11/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/26/2010)</a></li> </ul>	01/03/11	
30	CFTC	Enforcement	Antidisruptive Practices Authority Contained in the Dodd-Frank Wall Street Reform and Consumer Protection Act. Comment Open Date 11/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">ANOPR</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (10/26/2010)</a></li> <li>- <a href="#">Roundtable Transcript (12/02/2010)</a></li> </ul>	01/03/11	
31	FRB	Volker Rule	Conformance Period for Entities Engaged in Prohibited Proprietary Trading or Private Equity Fund or Hedge Fund Activities. Comment Open Date 11/26/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Comments</a></li> </ul>	1/10/11	
32	CFTC	Forex	Foreign Futures and Options Contracts on a Non-Narrow-Based Security Index; Commission Certification Procedures Comment Open Date: 12/13/2010	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> </ul>	1/12/11	
33	CFTC	Swap Dealer & MSP	Designation of a Chief Compliance Officer; Required Compliance Policies; and Annual Report of a Futures Commission Merchant, Swap Dealer, or Major Swap Participant. Comment Open Date 11/19/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> <li>- <a href="#">Meeting Transcript (11/10/2010)</a></li> </ul>	01/18/11	



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34	CFTC	Data	Reporting Certain Post-Enactment Swap Transactions. Comment Open Date 12/17/10.	<ul style="list-style-type: none"> <li>- <a href="#">Interim final rule; request for comment</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/9/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	01/18/11	
35	CFTC	Swap Dealer & MSP	Protection of Cleared Swaps Customers Before and After Commodity Broker Bankruptcies. Comment Open Date 12/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">ANOPR</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Transcript Meeting (11/09/2010)</a></li> </ul>	01/18/11	
36	CFTC	Swap Dealer & MSP	Implementation of Conflicts of Interest Policies and Procedures by Futures Commission Merchants and Introducing Brokers. Comment Open Date 11/17/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/10/2010)</a></li> </ul>	01/18/11	
37	CFTC	Trading	Registration of Foreign Boards of Trade. Comment Open Date 11/19/2010.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Transcript (11/10/2010)</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	01/18/11	
38	SEC	Data	Regulation SBSR—Reporting and Dissemination of Security-Based Swap Information; Proposed Rule. Comment Open Date 12/2/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rules</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Staff Memo</a></li> <li>- <a href="#">9/14/10 Roundtable</a></li> </ul>	01/18/11	

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#	Entity	Category	Proposed Rule Summary	Federal Register Notice, Meetings , Related Docs	Comments Due Date	Final Rule/Report
39	FSOC	Misc	Designate Financial Market Utilities as Systemically Important.	- <a href="#">ANOPR</a>	01/20/11	
40	CFTC	Swap Dealer & MSP	Regulations Establishing and Governing the Duties of Swap Dealers and Major Swap Participants. Comment Open Date 11/23/10.	- <a href="#">Proposed Rule</a> - <a href="#">Comments</a> - <a href="#">Fact Sheet</a> - <a href="#">Q&amp;A</a> - <a href="#">Meeting Transcript (11/10/2010)</a>	01/24/11	
41	CFTC	Swap Dealer & MSP	Implementation of Conflicts of Interest Policies and Procedures by Swap Dealers and Major Swap Participants. Comment Open Date 11/23/10.	- <a href="#">Proposed Rule</a> - <a href="#">Comments</a> - <a href="#">Fact Sheet</a> - <a href="#">Q&amp;A</a> - <a href="#">Meeting Transcript (11/10/2010)</a>	01/24/11	
42	CFTC	Swap Dealer & MSP	Registration of Swap Dealers and Major Swap Participants. Comment Open Date 11/23/10.	- <a href="#">Proposed Rules</a> - <a href="#">Comments</a> - <a href="#">Fact Sheet</a> - <a href="#">Q&amp;A</a> - <a href="#">Meeting Transcript (11/10/2010)</a>	01/24/11	
43	SEC	IAs	Exemptions for Advisers to Venture Capital Funds, Private Fund Advisers with Less Than \$150 Million in Assets Under Management, and Foreign Private Advisers (Corrected)	- <a href="#">Proposed Rule</a> - <a href="#">Comments</a>	01/24/11	
44	SEC	Data	Security-Based Swap Data Repository (SDR) Registration, Duties, and Core Principles; Proposed Rule. Comment Open Date 11/19/10.	- <a href="#">Proposed Rule</a> - <a href="#">Comments</a> - <a href="#">Paredes Statement at 11/19/10 Meeting</a> - <a href="#">Casey Statement</a> - <a href="#">SEC-CFTC Roundtable 9/14/10</a>	01/24/11	

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45	CFTC	Swap Dealer & MSP	Protection of Collateral of Counterparties to Uncleared Swaps; Treatment of Securities in a Portfolio Margining Account in a Commodity Broker Bankruptcy. Comment Open Date 12/3/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/09/2010)</a></li> </ul>	02/01/11	
46	CFTC	Enforcement	Implementing the Whistleblower Provisions of Section 23 of the Commodity Exchange Act. Comment Open Date 12/6/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/10/2010)</a></li> </ul>	02/04/11	
47	SEC	Clearing	End-User Exception to Mandatory Clearing of Security-Based Swaps. Comment Open Date 12/21/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> </ul>	02/04/11	
48	SEC		Suspension of the Duty to File Reports for Classes of Asset-Backed Securities Under Section 15(d) of the Securities Exchange Act of 1934	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> </ul>	02/07/11	
49	CFTC	Data	Real-Time Public Reporting of Swap Transaction Data Correction. Comment Open Date 12/7/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> </ul>	02/07/11	
50	CFTC	Data	Real-Time Public Reporting of Swap Transaction Data. Comment Open Date 12/7/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/09/2010)</a></li> </ul>	02/07/11	

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51	CFTC	Data	Reporting, Recordkeeping, and Daily Trading Records Requirements for Swap Dealers and Major Swap Participants. Comment Open Date 12/9/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Link 12/01/10</a></li> </ul>	02/07/11	
52	CFTC	Data	Swap Data Recordkeeping and Reporting Requirements. Comment Open Date 12/8/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rulemaking</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/09/2010)</a></li> <li>- <a href="#">Roundtable 1/28/11</a></li> </ul>	02/07/11	
53	CFTC	Clearing	General Regulations and Derivatives Clearing Organizations. Comment Open Date 12/13/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Link 12/01/10</a></li> </ul>	02/11/11	
54	SEC	Clearing	Process for Submissions for Review of Security-Based Swaps for Mandatory Clearing and Notice Filing Requirements for Clearing Agencies; Technical Amendments to Rule 19b-4 and Form 19b-4 Applicable to All Self-Regulatory Organizations. Comment Open Date 12/30/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> </ul>	02/14/11	
55	CFTC	Clearing	Information Management Requirements for Derivatives Clearing Organizations. Comment Open Date 12/15/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> </ul>	02/14/11	

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56	SEC		Trade Acknowledgement and Verification of Security-Based Swaps. Comment Open Date 01/14/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Comments</a></li> </ul>	02/22/11	
57	CFTC /SEC	Swap Dealer & MSP	Further Definition of "Swap Dealer," "Security-Based Swap Dealer," "Major Swap Participant," "Major Security- Based Swap Participant" and "Eligible Contract Participant" Comment Open Date 12/21/10.	<ul style="list-style-type: none"> <li>- <a href="#">Joint Proposed Rule; proposed interpretations</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/09/2010)</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">SEC Fact Sheet</a></li> </ul>	02/22/11	
58	CFTC	Data	Swap Data Repositories. Comment Open Date 12/23/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">Meeting Transcript (11/09/2010)</a></li> </ul>	2/22/11	
59	CFTC	Clearing	End-User Exception to Mandatory Clearing of Swaps. Comment Open Date 12/23/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/9/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	2/22/11	
60	CFTC	Swap Dealer & MSP	Business Conduct Standards for Swap Dealers and Major Swap Participants Dealing With Counterparties. Comment Open Date 12/22/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rules</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/9/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	2/22/11	



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61	CFTC	Trading	Core Principles and Other Requirements for Designated Contract Markets. Comment Open Date 12/22/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> <li>- <a href="#">Meeting Link 12/01/10</a></li> </ul>	2/22/11	
62	CFTC	Swap Dealer & MSP	Confirmation, Portfolio Reconciliation, and Portfolio Compression Requirements for Swap Dealers and MSPs. Comment Open Date 12/28/10.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/16/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> </ul>	2/28/11	
63	CFTC	Clearing	Governance Requirements for Derivatives Clearing Organizations, Designated Contract Markets, and Swap Execution Facilities; Additional Requirements Regarding the Mitigation of Conflicts of Interest. Comment Open Date 1/6/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/9/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	03/07/11	
64	SEC	1933 Act	Net Worth Standards for Accredited Investors	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> </ul>	03/11/11	
65	CFTC	Trading	Core Principles and Other Requirements for Swap Execution Facilities. Comment Open Date 1/7/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/16/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	03/08/11	



## DODD-FRANK RULEMAKING CHART

#	Entity	Category	Proposed Rule Summary	Federal Register Notice, Meetings , Related Docs	Comments Due Date	Final Rule/Report
66	CFTC	Position Limits	Position Limits for Derivatives. Comment Open Date 1/7/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Comments</a></li> <li>- <a href="#">Meeting Link 12/16/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> </ul>	03/28/11	
67	CFTC	Clearing	Risk Management Requirements for Derivatives Clearing Organizations	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Meeting Link 12/16/10</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q &amp; A</a></li> <li>-</li> </ul>	03/21/11	
68	SEC	SB-SEF	Registration and Regulation of Security-Based Swap Execution Facilities: Regulation SB-SEF (unanimously to propose rules defining (SEFs) and establishing their registration requirements, as well as their duties and core principles).02/2/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Webcast &amp; Factsheet</a></li> </ul>	04/04/11	
69	CFTC	Particular products	Commodity Options and Agricultural Swaps	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">1/20/11 Meeting</a></li> </ul>	04/04/11	
70	CFTC - SEC	IAs, CPO, CTA	Reporting by Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisors on Form PF. 1/26/11.	<ul style="list-style-type: none"> <li>- <a href="#">Jt. Proposed rules</a></li> <li>- <a href="#">Fact sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> </ul>	60 days after pub.	
71	CFTC	CPO, CTA	Commodity Pool Operators and Commodity Trading Advisors: Amendments to Compliance Obligations/ 01/26/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Fact sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">1/26/11 Commission Meeting</a></li> </ul>	60 days after pub.	



## DODD-FRANK RULEMAKING CHART

#	Entity	Category	Proposed Rule Summary	Federal Register Notice, Meetings , Related Docs	Comments Due Date	Final Rule/Report
72	CFTC	Swap Dealer & MSP	Orderly Liquidation Termination Provision in Swap Trading Relationship Documentation for Swap Dealers and Major Swap Participants. 01/20/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed Rule</a></li> <li>- <a href="#">Fact Sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">1/20/11 Meeting</a></li> </ul>	60 days after pub.	
73	CFTC	Swap Dealer & MSP	Swap Trading Relationship Documentation Requirements for Swap Dealers and Major Swap Participants. 01.13/11.	<ul style="list-style-type: none"> <li>- <a href="#">Proposed rule</a></li> <li>- <a href="#">Fact sheet</a></li> <li>- <a href="#">Q&amp;A</a></li> <li>- <a href="#">1/13/11 Meeting</a></li> </ul>	60 days	
74	CFTC /SEC	Swap Dealer & MSP	Capital & Margin	<ul style="list-style-type: none"> <li>- <a href="#">SEC/CFTC Roundtable Transcript 12/10/10</a></li> </ul>		
75	FSOC	Volcker Rule Study	Study & Recommendations on Prohibitions on Prop Trading & certain Relationships with Hedge Funds & Private equity funds	<ul style="list-style-type: none"> <li>- <a href="#">FSOC Study</a></li> </ul>	Regulators have 9m to implement	Sept 2011
76	FSOC	Study	Study & recommendations re concentration limits on large financial companies. 01/18/11	<ul style="list-style-type: none"> <li>- <a href="#">FSOC Study</a></li> </ul>	30 days after publication	
77	FSOC	Nonbank Financial Co.	Regarding Authority To Require Supervision and Regulation of Certain Nonbank Financial Companies –(criteria for Council's designation of nonbank financial companies)11/05/10.	<ul style="list-style-type: none"> <li>- <a href="#">ANOPR</a></li> <li>- <a href="#">NPR</a></li> </ul>	30 days from publication	FSOC