

CFTC Proposed Rules			
<u>Proposed Rule</u>	<u>Date Issued</u>	<u>Date Published</u>	<u>Comments Due</u>
Conflicts of Interest for DCOs, DCMs and SEFs	10/1/10	10/18/10	11/17/10
Definition of Agricultural Commodity	10/19/10	10/26/10	11/26/10
Position Reports for Physical Commodity Swaps	10/19/10	11/2/10	12/2/10
Removal of Reliance on Credit Ratings	10/26/10	11/2/10	12/2/10
Investment of Customer Funds	10/26/10	11/3/10	12/3/10
Financial Resource Requirements for DCOs	10/1/10	10/14/10	12/13/10
Disposal of Consumer Information	10/19/10	10/27/10	12/27/10
Privacy of Consumer Financial Information	10/19/10	10/27/10	12/27/10
Process for Review of Swaps for Clearing	10/26/10	11/2/10	1/3/11
Provisions Common to Registered Entities	10/26/10	11/2/10	1/3/11
Market Manipulation	10/26/10	11/3/10	1/3/11
Conflicts of Interest Policies and Procedures for FCMs and Introducing Brokers		11/17/10	1/18/11
Designation of Chief Compliance Officer	11/10/10	11/19/10	1/18/11
Foreign Boards of Trade	11/10/10	11/19/10	1/18/11
Conflicts of Interest Policies and Procedures for Swap Dealers and Major Swap Participants	11/10/10	11/23/10	1/24/11
Duties of Swap Dealers and Major Swap Participants	11/10/10	11/23/10	1/24/11
Registration of Swap Dealers and Major Swap Participants	11/10/10	11/23/10	1/24/11

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Collateral Segregation for Uncleared Swaps	11/19/10	12/3/10	2/1/11
Whistleblower Incentives and Protection	11/10/10	12/6/10	2/4/11
Real Time Reporting of Swap Data	11/19/10	12/7/10	2/7/11
Swap Data Recordkeeping and Reporting	11/19/10	12/8/10	2/7/11
Reporting and Recordkeeping for Swap Dealers and Major Swap Participants	12/1/10	12/9/10	2/7/11
Procedures and Core Principles for DCOs	12/1/10	12/13/10	2/11/11
Reporting and Recordkeeping for DCOs	12/1/10	12/15/10	2/14/11
Entity Definitions (<i>Joint rulemaking with the SEC</i>)	12/1/10	12/21/10	2/22/11
Core Principles and Other Requirements for DCMs	12/1/10	12/22/10	2/22/11
External Business Conduct Standards for Swap Dealers and Major Swap Participants	12/9/10	12/22/10	2/22/11
Swap Data Repositories	11/19/10	12/23/10	2/22/11
End-User Exception to Mandatory Clearing	12/9/20	12/23/10	2/22/11
Governance Requirements for DCOs, DCMs and SEFs	12/9/10		
Confirmation, Portfolio Reconciliation and Portfolio Compression Requirements for Swap Dealers and MSPs	12/16/10		
Core Principles and Other Requirements for SEFs	12/16/10		
Risk Management Requirements for DCOs	12/16/10		

CFTC Advanced Notices of Proposed Rulemaking			
<i><u>Proposed Rule</u></i>	<i><u>Date Issued</u></i>	<i><u>Date Published</u></i>	<i><u>Comments Due</u></i>
Treatment of Agricultural Swaps	9/21/10	9/28/10	10/28/10
Antidisruptive Practices	10/26/10	11/2/10	1/3/11
Collateral Segregation for Cleared Swaps	11/19/10	12/2/10	1/18/11