Commodity Futures Trading Commission

providing an initial notice to all new
customers and have mailed the initial
notice to all your existing customers.

(c) One-year grandfathering of service
agreements. Until March 31, 2003, a con-
tract that you have entered into with a
nonaffiliated third party to perform
services for you or functions on your
behalf satisfies the provisions of
§ 160.13(a)(1)(ii) even if the contract
does not include a requirement that
the third party maintain the confiden-
tiality of nonpublic personal informa-
tion, as long as you entered into the
agreement on or before March 31, 2002.

[66 FR 21252, Apr. 27, 2001, as amended at 66
13, 2002]

§§ 160.19–160.29 [Reserved]

§ 160.30 Procedures to safeguard cus-
tomer records and information.

Every futures commission merchant,
commodity trading advisor, com-
modity pool operator and introducing
broker subject to the jurisdiction of
the Commission must adopt policies
and procedures that address adminis-
trative, technical and physical safe-
guards for the protection of customer
records and information. These policies
and procedures must be reasonably de-
signed to:

(a) Insure the security and confiden-
tiality of customer records and infor-
mation;

(b) Protect against any anticipated
threats or hazards to the security or
integrity of customer records and in-
formation; and

(c) Protect against unauthorized ac-
cess to or use of customer records or
information that could result in sub-
stantial harm or inconvenience to any
customer.

APPENDIX A TO PART 160—MODEL
PRIVACY FORM

A. The Model Privacy Form