

be established. Nothing in this section shall be deemed to prohibit the Commission, at its election, from exercising the authority delegated in this section.

[77 FR 21307, Apr. 9, 2012]

APPENDIX A TO PART 1 [RESERVED]

APPENDIX B TO PART 1—FEES FOR CONTRACT MARKET RULE ENFORCEMENT REVIEWS AND FINANCIAL REVIEWS

(a) Within 60 days of the effective date of a final fee schedule for each fiscal year, each board of trade which has been designated as a contract market for at least one actively trading contract shall submit a check or money order, made payable to the Commodity Futures Trading Commission, to cover the Commission's actual costs in conducting contract market rule enforcement reviews and financial reviews.

(b) The Commission determines fees charged to exchanges based upon a formula that considers both actual costs and trading volume.

(c) Checks should be sent to the attention of the Office of the Secretariat, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.

[50 FR 930, Jan. 8, 1985, as amended at 52 FR 46072, Dec. 4, 1987; 58 FR 42645, Aug. 11, 1993; 60 FR 49334, Sept. 25, 1995; 77 FR 66332, Nov. 2, 2012]

APPENDIX C TO PART 1 [RESERVED]

PART 2—OFFICIAL SEAL

Sec.

2.1 Description.

2.2 Authority to affix seal.

2.3 Prohibitions against misuse of seal.

2.4 Employee Recreation Association's use of Commission seal.

AUTHORITY: 7 U.S.C. 2a(11).

§ 2.1 Description.

Pursuant to section 2(a)(10) of the Commodity Exchange Act, as amended, 7 U.S.C. 4(i), the Commodity Futures Trading Commission has adopted an official seal (the "Seal"), the description of which is as follows:

(a) An American bald eagle in black and white holding the scales of balanced interests over a black and white wheel of commerce and a farmer's plow, also in black and white. These symbols are enclosed with an inner red

octagon and a blue outer octagon representing traditional futures contract trading pits. Around the outside of the octagons are the words "Commodity Futures Trading Commission" separated by two stars from the year "1975," the first year of the Commission's existence.

(b) The Seal of the Commodity Futures Trading Commission is illustrated as follows:



§ 2.2 Authority to affix seal.

(a) The following officials of the Commodity Futures Trading Commission are authorized to affix the Seal to appropriate documents and other materials of the Commission for all purposes including those authorized by 28 U.S.C. 1733(b) (relating to authenticated copies of agency documents used as evidence): The Chairman and all Commissioners, the General Counsel, the Executive Director, the Directors of Divisions, and the Secretariat.

(b) The officials named in paragraph (a) of this section, may redelegate, and authorize redelegation of this authority, except that the Secretary may redelegate this authority only to the Deputy Secretary.

[41 FR 9552, Mar. 5, 1976, as amended at 51 FR 37177, Oct. 20, 1986]

§ 2.3 Prohibitions against misuse of seal.

(a) Fraudulently or wrongfully affixing or impressing the Seal to or

upon any certificate, instrument, document or paper or with knowledge of its fraudulent character, or with wrongful or fraudulent intent, using, buying, procuring, selling or transferring to another any such paper is punishable under section 1017 of title 18, U.S. Code.

(b) Falsely making, forging, counterfeiting, mutilating, or altering the Seal, or knowingly using a fraudulent or altered Seal or possessing any such Seal knowingly is punishable under section 506 of title 18, U.S. Code.

§ 2.4 Employee Recreation Association's use of Commission seal.

(a) As a specific exception to the provisions of 17 CFR 2.2 and 2.3, the Commodity Futures Trading Commission Employee Recreation Association ("Association") is hereby authorized to use the Commission seal as an imprint upon sport apparel (e.g., hats, clothing, accessories, etc.) and novelty items (e.g., office mugs, lanyards, badge holders, stationary items, among other);

(b) The Association may sell or distribute above said items imprinted with the Commission seal to members of the Association or others to meet its fundraising goals and/or in conjunction with its sports, social or similar events.

[72 FR 29247, May 25, 2007]

PART 3—REGISTRATION

Subpart A—Registration

Sec.

- 3.1 Definitions.
- 3.2 Registration processing by the National Futures Association; notification and duration of registration.
- 3.3 Chief compliance officer.
- 3.4 Registration in one capacity not included in registration in any other capacity.
- 3.5–3.9 [Reserved]
- 3.10 Registration of futures commission merchants, retail foreign exchange dealers, introducing brokers, commodity trading advisors, commodity pool operators, swap dealers, major swap participants and leverage transaction merchants.
- 3.11 Registration of floor brokers and floor traders.
- 3.12 Registration of associated persons of futures commission merchants, retail foreign exchange dealers, introducing brokers, commodity trading advisors,

commodity pool operators and leverage transaction merchants.

- 3.13–3.20 [Reserved]
- 3.21 Exemption from fingerprinting requirement in certain cases.
- 3.22 Supplemental filings.
- 3.23–3.29 [Reserved]
- 3.30 Current address for purpose of delivery of communications from the Commission or the National Futures Association.
- 3.31 Deficiencies, inaccuracies, and changes, to be reported.
- 3.33 Withdrawal from registration.

Subpart B—Temporary Licenses

- 3.40 Temporary licensing of applicants for associated person, floor broker or floor trader registration.
- 3.42 Termination.
- 3.43 Relationship to registration.
- 3.44 Temporary licensing of applicants for guaranteed introducing broker registration.
- 3.45 Restrictions upon activities.
- 3.46 Termination.
- 3.47 Relationship to registration.

Subpart C—Denial, Suspension or Revocation of Registration

- 3.50 Service.
- 3.51 Withdrawal of application for registration.
- 3.52–3.54 [Reserved]
- 3.55 Suspension and revocation of registration pursuant to section 8a(2) of the Act.
- 3.56 Suspension or modification of registration pursuant to section 8a(11) of the Act.
- 3.57 Proceedings under section 8a(2)(E) of the Act.
- 3.60 Procedure to deny, condition, suspend, revoke or place restrictions upon registration pursuant to sections 8a(2), 8a(3) and 8a(4) of the Act.
- 3.61 Extensions of time for proceedings brought under §3.55, §3.56 and §3.60 of this part.
- 3.62 [Reserved]
- 3.63 Service of order issued by an Administrative Law Judge or the Commission.
- 3.64 Procedure to lift or modify conditions or restrictions.

Subpart D—Notice Under Section 4k(5) of the Act

- 3.70 Notification of certain information regarding associated persons.

Subpart E—Delegation and Reservation of Authority

- 3.75 Delegation and reservation of authority.

APPENDIX A TO PART 3—INTERPRETIVE STATEMENT WITH RESPECT TO SECTION 8A(2)(C)