

Agency name	Organization name	Position title	Request No.	Date vacated
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT.	Office of the Assistant Secretary for Preparedness and Response.	Senior Advisor .....	DH190054	11/22/2019
	Office of the Assistant Secretary for Public Affairs.	Assistant Speechwriter .....	DH190050	11/09/2019
		Content Strategy and Marketing Associate.	DH190168	11/22/2019
		Special Assistant .....	DH180250	11/30/2019
	Office of the Secretary .....	Special Advisor .....	DH190118	11/09/2019
	Office of the Deputy Secretary .....	Special Assistant .....	DU180091	11/08/2019
	Office of Policy Development and Research.	Deputy Assistant Secretary for Policy Development.	DU180089	11/16/2019
	Office of Civil Division .....	Senior Counsel .....	DJ190055	11/15/2019
	Office of Congressional and Intergovernmental Affairs.	Chief of Staff .....	DL180014	11/23/2019
	Office of the Assistant Secretary for Policy.	Counsel and Policy Advisor .....	DL190017	11/23/2019
DEPARTMENT OF JUSTICE ..... DEPARTMENT OF LABOR .....	Office of the Secretary .....	Special Assistant .....	DL180079	11/23/2019
	Bureau of Arms Control, Verification and Compliance.	Senior Advisor .....	DS180060	11/23/2019
	Bureau of Counterterrorism .....	Special Assistant .....	DS180011	11/23/2019
	Bureau of Western Hemisphere Affairs.	Special Assistant .....	DS170156	11/23/2019
	Office of Global Women's Issues ..	Special Assistant .....	DS180039	11/23/2019
	Office of Policy Planning .....	Writer—Editor (Speechwriter) .....	DS180072	11/09/2019
	Office of the Counselor .....	Senior Advisor .....	DS180063	11/09/2019
	Office of the Secretary .....	Writer-Editor (Chief Speechwriter)	DS180087	11/09/2019
		Staff Assistant .....	DS180086	11/23/2019
		Senior Advance Representative ....	DI180048	11/30/2019
DEPARTMENT OF THE INTERIOR. DEPARTMENT OF TRANSPORTATION.	Secretary's Immediate Office .....	Special Assistant for Research and Technology.	DT190105	11/07/2019
	Office of the Assistant Secretary for Research and Technology.	Digital Media Manager .....	DT190107	11/07/2019
	Office of Public Affairs .....	Special Assistant .....	DT180037	11/30/2019
	Chief Information Officer .....	Special Assistant .....	DV170062	11/23/2019
	Office of the Assistant Secretary for Congressional and Legislative Affairs.			
	Office of Public Affairs .....	Press Secretary .....	DV190078	11/30/2019
	Office of the Associate Administrator for Congressional and Intergovernmental Relations.	Special Assistant to the Associate Administrator for the Office of Congressional and Intergovernmental Relations.	EP180067	11/09/2019
	Office of the Associate Administrator for Policy.	Special Advisor for Policy and Economics.	EP190051	11/09/2019
	Office of the Administrator .....	Advance Associate .....	EP190074	11/22/2019
	Office of Strategic Communication	Speechwriter .....	GS190028	11/17/2019
GENERAL SERVICES ADMINISTRATION. OFFICE OF MANAGEMENT AND BUDGET. OFFICE OF PERSONNEL MANAGEMENT.	Office of the General Counsel .....	Deputy to the General Counsel for Oversight.	BO190005	11/09/2019
	President's Commission on White House Fellowships.	Deputy Director, President's Commission on White House Fellowships.	PM190020	11/09/2019

**Authority:** 5 U.S.C. 3301 and 3302; E.O. 10577, 3 CFR, 1954–1958 Comp., p. 218.

Office of Personnel Management.

**Alexys Stanley,**

*Regulatory Affairs Analyst.*

[FR Doc. 2020–04272 Filed 3–2–20; 8:45 am]

**BILLING CODE 6325–39–P**

## OFFICE OF PERSONNEL MANAGEMENT

### Excepted Service

**AGENCY:** Office of Personnel Management (OPM).

**ACTION:** Notice.

**SUMMARY:** This notice identifies Schedule A, B, and C appointing authorities applicable to a single agency that were established or revoked from October 1, 2019 to October 31, 2019.

**FOR FURTHER INFORMATION CONTACT:** Julia Alford, Senior Executive Resources Services, Senior Executive Services and Performance Management, Employee Services, 202–606–2246.

**SUPPLEMENTARY INFORMATION:** In accordance with 5 CFR 213.103, Schedule A, B, and C appointing authorities available for use by all agencies are codified in the Code of Federal Regulations (CFR). Schedule A, B, and C appointing authorities

applicable to a single agency are not codified in the CFR, but the Office of Personnel Management (OPM) publishes a notice of agency-specific authorities established or revoked each month in the **Federal Register** at [www.gpo.gov/fdsys/](http://www.gpo.gov/fdsys/). OPM also publishes an annual notice of the consolidated listing of all Schedule A, B, and C appointing authorities, current as of June 30, in the **Federal Register**.

### Schedule A

No Schedule A Authorities to report during October 2019.

**Schedule B**

No Schedule B Authorities to report during October 2019.

**Schedule C**

The following Schedule C appointing authorities were approved during October 2019.

Agency name	Organization name	Position title	Authorization No.	Effective date
DEPARTMENT OF AGRICULTURE.	Office of the Secretary .....	White House Liaison .....	DA200005	10/22/2019
	Office of the Assistant Secretary for Congressional Relations.	Confidential Assistant .....	DA200010	10/29/2019
		Policy and Congressional Advisor .....	DA200008	10/25/2019
DEPARTMENT OF COMMERCE ..	Rural Housing Service .....	State Director—Louisiana .....	DA200007	10/25/2019
	Minority Business Development Agency.	Special Assistant .....	DC190170	10/04/2019
	Office of Legislative and Intergovernmental Affairs.	Senior Advisor .....	DC200005	10/25/2019
		Associate Director for Legislative Affairs.	DC190155	10/10/2019
		Intergovernmental Affairs Specialist.	DC190156	10/10/2019
	Office of the Chief Financial Officer and Assistant Secretary for Administration.	Legislative Affairs Specialist .....	DC190154	10/11/2019
		Confidential Assistant .....	DC190171	10/17/2019
	Office of the General Counsel .....	Counsel .....	DC190166	10/11/2019
		Director of Operations for Special Projects.	DC190159	10/24/2019
	Office of the Assistant Secretary of Defense (Legislative Affairs).	Special Assistant .....	DD190210	10/16/2019
DEPARTMENT OF DEFENSE .....		Special Assistant .....	DD200011	10/18/2019
DEPARTMENT OF THE AIR FORCE.	Office of Assistant Secretary Air Force for Acquisition.	Personal and Confidential Assistant.	DF200001	10/24/2019
DEPARTMENT OF EDUCATION ..	Office of the General Counsel .....	Attorney Adviser (Deputy Special Counsel).	DB190132	10/02/2019
	Office for Civil Rights .....	Attorney Adviser (Special Counsel)	DB190133	10/02/2019
DEPARTMENT OF ENERGY .....	Office of the Assistant Secretary for Congressional and Intergovernmental Affairs.	Deputy Assistant Secretary for Senate Affairs.	DE200006	10/07/2019
		Legislative Affairs Advisor .....	DE200008	10/28/2019
	Office of the Assistant Secretary for Energy Efficiency and Renewable Energy.	Special Advisor .....	DE200004	10/08/2019
		Chief of Staff .....	DE190207	10/07/2019
	Office of the Assistant Secretary for Environmental Management.	Chief of Staff .....	DE200003	10/09/2019
	Office of Economic Impact and Diversity.	Director of Operations .....	DE200009	10/28/2019
	Office of Management .....	Senior Content Creator .....	DE190208	10/08/2019
	Office of Public Affairs .....	Director of Scheduling .....	DE190203	10/07/2019
	Office of Scheduling and Advance	Special Assistant .....	DE200002	10/07/2019
	Office of the Secretary .....	Executive Assistant for the Office of Air and Radiation.	EP200009	10/22/2019
ENVIRONMENTAL PROTECTION AGENCY.	Office of the Assistant Administrator for Air and Radiation.	Senior Advisor for Science and Policy.	EP190128	10/01/2019
	Office of the Associate Administrator for Policy.	Associate Chief of Staff for the Office of Policy.	EP200004	10/07/2019
	Office of the Executive Secretariat	Policy Assistant .....	EP200001	10/17/2019
		Special Advisor .....	EP200005	10/24/2019
		Attorney-Advisor (General) .....	EP190143	10/04/2019
EXPORT-IMPORT BANK .....	Office of the General Counsel .....	Assistant .....	EB200002	10/10/2019
		Special Advisor and Deputy Scheduler (2).	EB200004	10/25/2019
	Office of Communications .....	Deputy Press Secretary .....	EB200006	10/29/2019
		Advisor .....	EB200005	10/31/2019
DEPARTMENT OF HEALTH AND HUMAN SERVICES.	Office of the Assistant Secretary for Health.	Advisor .....	DH190255	10/02/2019
	Office of Administration for Children and Families.	Policy Advisor .....	DH190266	10/09/2019
		Advisor .....	DH190120	10/31/2019
	Office of the Assistant Secretary for Legislation.	Senior Advisor .....	DH200008	10/31/2019
DEPARTMENT OF HOMELAND SECURITY.	Cybersecurity and Infrastructure Security Agency (CISA).	Special Assistant .....	DM200022	10/25/2019

Agency name	Organization name	Position title	Authorization No.	Effective date
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT. DEPARTMENT OF THE INTERIOR. DEPARTMENT OF JUSTICE .....	Federal Emergency Management Agency.	Policy Advisor .....	DM200011	10/29/2019
	Office of Countering Weapons of Mass Destruction (CWMD).	Deputy Press Secretary .....	DM190315	10/29/2019
	Office of the Assistant Secretary for Policy.	Senior Advisor .....	DM200019	10/25/2019
	Office of the Assistant Secretary for Public Affairs.	Confidential Assistant .....	DM200002	10/17/2019
	Office of the Chief of Staff .....	Assistant Press Secretary .....	DM190319	10/03/2019
	Office of the United States Citizenship and Immigration Services. Office of the United States Customs and Border Protection. Office of the United States Immigration and Customs Enforcement.	Advance Representative (2) .....	DM190301	10/01/2019
		Special Assistant .....	DM200024	10/25/2019
		Special Assistant .....	DM200028	10/29/2019
		Special Assistant .....	DM190314	10/03/2019
		Special Assistant .....	DM200016	10/29/2019
	Office of Public Affairs .....	Special Advisor .....	DM200021	10/29/2019
		Director of Strategic Communications.	DU190128	10/01/2019
	Office of the Assistant Secretary—Land and Minerals Management.	Counselor—Land and Minerals Management.	DI200005	10/29/2019
	Office of Civil Rights Division .....	Counsel (2) .....	DJ190214	10/09/2019
	Office of Legal Policy .....	DJ190228	DJ190228	10/22/2019
	Office of the Attorney General .....	DJ190245	DJ190245	10/17/2019
	Office of the Deputy Attorney General.	Director of Scheduling .....	DJ190238	10/24/2019
		Counsel .....	DJ190244	10/24/2019
DEPARTMENT OF LABOR .....	Office of Employee Benefits Security Administration.	Senior Policy Advisor .....	DL190184	10/11/2019
	Office of Congressional and Intergovernmental Affairs.	Regional Representative (3) .....	DL190157	10/01/2019
			DL200010	10/11/2019
			DL200011	10/11/2019
			DL200013	10/11/2019
NATIONAL CREDIT UNION ADMINISTRATION.	Office of Federal Contract Compliance Programs.	Senior Policy Advisor .....	DL200014	10/24/2019
	Office of the Secretary .....	Executive Secretary .....	DL200018	10/31/2019
	Office of the Board .....	Special Assistant .....	CU200002	10/15/2019
		Director, Office of External Affairs and Communications/Deputy Chief of Staff.		
	Office of Public and Congressional Affairs.	Senior Advisor for Communications and Engagement.	CU200003	10/24/2019
NATIONAL TRANSPORTATION SAFETY BOARD.	Office of Board Members .....	Confidential Assistant .....	TB200001	10/18/2019
OFFICE OF MANAGEMENT AND BUDGET.	Office of Health Division .....	Confidential Assistant .....	BO200003	10/17/2019
OFFICE OF NATIONAL DRUG CONTROL POLICY.	Natural Resource Programs .....	Confidential Assistant .....	BO200004	10/25/2019
	Office of Legislative Affairs .....	Public Affairs Specialist (Program Support).	QQ190015	10/07/2019
		Deputy Assistant Director, Office of Legislative Affairs.	QQ200001	10/07/2019
OFFICE OF PERSONNEL MANAGEMENT.	Office of the Director .....	Director of Advance and Speechwriter.	PM200005	10/25/2019
SMALL BUSINESS ADMINISTRATION.	Office of Investment and Innovation.	Special Assistant .....	SB190032	10/04/2019
DEPARTMENT OF STATE .....	Bureau of Administration .....	Special Assistant .....	DS200013	10/31/2019
	Bureau of Arms Control, Verification, and Compliance.	Senior Advisor .....	DS200014	10/31/2019
	Bureau of Economic and Business Affairs.	Special Advisor .....	DS200001	10/08/2019
	Bureau of Legislative Affairs .....	Legislative Management Officer .....	DS190129	10/09/2019
	Office of Policy Planning .....	Writer-Editor (Speechwriter) .....	DS200007	10/31/2019
	Office of the Chief of Protocol .....	Protocol Officer (Ceremonials) .....	DS200005	10/10/2019
	Office of the Secretary .....	Senior Advisor (2) .....	DS200002	10/08/2019
			DS200003	10/08/2019
		Special Advisor .....	DS200011	10/31/2019
	Office of the Under Secretary for Management.	Special Assistant .....	DS200009	10/29/2019
DEPARTMENT OF TRANSPORTATION.	Office of the Administrator .....	Special Assistant .....	DT190126	10/10/2019

Agency name	Organization name	Position title	Authorization No.	Effective date
DEPARTMENT OF THE TREASURY.	Office of the Associate Administrator for Highway Policy and Governmental Affairs. Office of the Executive Secretariat Immediate Office of the Administrator. Office of Pipeline and Hazardous Materials Safety Administration. Office of the Under Secretary for International Affairs. Office of the Assistant Secretary for Financial Markets. Office of Commissioner Stayin .....	Senior Governmental Affairs Officer.	DT200019	10/28/2019
		Associate Administrator for Policy and Governmental Affairs.	DT200003	10/16/2019
		Special Assistant .....	DT190125	10/07/2019
		Director of Governmental, International and Public Affairs.	DT200005	10/29/2019
		Senior Policy Advisor .....	DT200008	10/16/2019
		Special Advisor .....	DY190120	10/01/2019
		Special Advisor .....	DY200005	10/29/2019
UNITED STATES INTERNATIONAL TRADE COMMISSION.	Office of Commissioner Stayin .....	Staff Assistant (Legal) .....	TC200001	10/22/2019
DEPARTMENT OF VETERANS AFFAIRS.	Office of Commissioner Schmidlein.	Staff Assistant (Legal) .....	TC200003	10/22/2019
	Office of the General Counsel .....	Special Assistant (Attorney Advisor).	DV200003	10/11/2019

The following Schedule C appointing authorities were revoked during October 2019.

Agency name	Organization name	Position title	Request No.	Date vacated
COMMODITY FUTURES TRADING COMMISSION. DEPARTMENT OF AGRICULTURE.	Office of the Chief Economist .....	Senior Advisor .....	CT190007	10/18/2019
	Office of the Secretary .....	Senior Advisor to the Secretary .....	DA180222	10/04/2019
	Farm Service Agency .....	State Executive Director .....	DA180230	10/15/2019
	Office of the Under Secretary for Food Safety.	Confidential Assistant .....	DA180148	10/31/2019
DEPARTMENT OF COMMERCE ..	Office of Advance, Scheduling and Protocol.	Director of Advance, Scheduling and Protocol.	DC190060	10/25/2019
	Bureau of Industry and Security ....	Senior Advisor .....	DC190055	10/26/2019
	Office of the General Counsel .....	Special Advisor .....	DC190072	10/27/2019
	Office of Legislative and Intergovernmental Affairs.	Confidential Assistant .....	DC180165	10/31/2019
OFFICE OF THE SECRETARY OF DEFENSE.	Office of the Secretary of Defense	Advance Officer .....	DD180134	10/12/2019
	Office of the Under Secretary of Defense (Policy).	Special Assistant .....	DD180140	10/26/2019
	Washington Headquarters Services.	Defense Fellow (2) .....	DD190058	10/19/2019
	Office of the Deputy Under Secretary for Policy.	Special Assistant .....	DD180114	10/05/2019
		Special Assistant .....	DD190171	10/05/2019
	Office of the Assistant Secretary of Defense (Legislative Affairs).	Special Assistant (2) .....	DD180118	10/26/2019
DEPARTMENT OF THE ARMY .....	Office of the Assistant Secretary of Army (Installations, Energy and Environment).	Special Assistant .....	DD190070 DW180003	10/26/2019 10/31/2019
DEPARTMENT OF EDUCATION ..	Department of Education .....	Special Assistant (Supervisory) .....	DB190063	10/12/2019
	Office for Civil Rights .....	Attorney Advisor .....	DB190073	10/12/2019
	Office of the General Counsel .....	Attorney Advisor .....	DB190099	10/12/2019
DEPARTMENT OF ENERGY .....	Office of the Assistant Secretary for Energy Efficiency and Renewable Energy.	Special Assistant .....	DE180160	10/12/2019
	Office of the Assistant Secretary for Fossil Energy.	Senior Advisor for Regional Economic Development.	DE180098	10/12/2019
	Office of the Assistant Secretary for International Affairs.	Special Assistant .....	DE190041	10/12/2019
	Office of Science .....	Senior Advisor .....	DE180129	10/12/2019
	Office of the Secretary .....	Special Assistant to the Staff Secretary.	DE190057	10/12/2019

Agency name	Organization name	Position title	Request No.	Date vacated
DEPARTMENT OF HEALTH AND HUMAN SERVICES.	Office of the Assistant Secretary for Financial Resources.	Director of Congressional Relations.	DH190037	10/12/2019
	Office of the Assistant Secretary for Legislation.	Special Assistant .....	DH190069	10/26/2019
		Director of Congressional Liaison ..	DH190034	10/17/2019
	Office of the Assistant Secretary for Public Affairs.	Advisor—Strategic Communications.	DH190068	10/11/2019
	Office of the Secretary .....	Director of Communication Strategy and Campaigns.	DH180236	10/17/2019
		Briefing Book Coordinator and Policy Advisor.	DH190098	10/12/2019
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT.	Office of the Administration .....	Advance Coordinator .....	DU190020	10/26/2019
	Office of Public Affairs .....	Deputy Assistant Secretary for Public Affairs.	DU180094	10/31/2019
		Director of Strategic Communications.	DU180064	10/31/2019
DEPARTMENT OF JUSTICE .....	Office of Antitrust Division .....	Counsel .....	DJ180049	10/15/2019
DEPARTMENT OF LABOR .....	Office of Public Affairs .....	Chief of Staff .....	DL190069	10/12/2019
		Press Assistant .....	DL180057	10/12/2019
DEPARTMENT OF STATE .....	Bureau of Legislative Affairs .....	Special Assistant .....	DS180070	10/12/2019
	Bureau of Education and Cultural Affairs.	Special Assistant .....	DS180071	10/22/2019
	Bureau of Economic and Business Affairs.	Special Assistant .....	DS180056	10/26/2019
	Office of the Under Secretary for Management.	Staff Assistant .....	DS190084	10/26/2019
	Bureau of Western Hemisphere Affairs.	Senior Advisor .....	DS190023	10/31/2019
	Department of the Treasury .....	Assistant Executive Secretary .....	DY180012	10/13/2019
DEPARTMENT OF THE TREASURY. DEPARTMENT OF TRANSPORTATION.	Office of the Assistant Secretary for Governmental Affairs.	Governmental Affairs Officer .....	DT180089	10/26/2019
	Office of the Under Secretary of Transportation for Policy.	Special Assistant .....	DT180042	10/26/2019
		Senior Policy Advisor .....	DT190104	10/26/2019
DEPARTMENT OF VETERANS AFFAIRS.	Office of the Assistant Secretary for Public and Intergovernmental Affairs.	Special Assistant/Deputy Press Secretary.	DV180065	10/07/2019
ENVIRONMENTAL PROTECTION AGENCY.	Office of the General Counsel .....	Attorney Advisor (General) (2) .....	EP190038	10/12/2019
	Office of Public Affairs .....	Writer (Speeches) .....	EP180080	10/13/2019
Office of the Chief of Staff .....		Executive Secretary .....	EP190068	10/31/2019
EXPORT-IMPORT BANK .....	National Capital Region .....	Special Assistant to the Regional Administrator.	EB190007	10/12/2019
GENERAL SERVICES ADMINISTRATION.	Natural Resource Programs .....	Confidential Assistant .....	GS190027	10/12/2019
OFFICE OF MANAGEMENT AND BUDGET.		Confidential Assistant .....	BO190004	10/12/2019
OFFICE OF NATIONAL DRUG CONTROL POLICY.	Office of Health Division .....	Confidential Assistant .....	BO190014	10/26/2019
	Office of the Director .....	Confidential Assistant .....	BO180028	10/26/2019
	Office of Legislative Affairs .....	Legislative Analyst .....	QQ190008	10/12/2019
OFFICE OF PERSONNEL MANAGEMENT.	Office of Public Affairs .....	Public Affairs Specialist (Program Support).	QQ180004	10/12/2019
	President's Commission on White House Fellowships.	Confidential Assistant to the Director.	PM190038	10/26/2019

(Authority: 5 U.S.C. 3301 and 3302; E.O. 10577, 3 CFR, 1954–1958 Comp., p. 218.)

Alexys Stanley,

Regulatory Affairs Analyst, Office of  
Personnel Management.

[FR Doc. 2020–04273 Filed 3–2–20; 8:45 am]

BILLING CODE 6325–39–P

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–88285; File No. SR-CFE–  
2020–002]

### Self-Regulatory Organizations; Cboe Futures Exchange, LLC; Notice of Filing of Proposed Rule Change Relating To Exchange Jurisdiction

February 26, 2020.

Pursuant to Section 19(b)(7) of the Securities Exchange Act of 1934 (“Act”),<sup>1</sup> notice is hereby given that on February 14, 2020 Cboe Futures Exchange, LLC (“CFE” or “Exchange”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change described in Items I and II below, which Items have been prepared by CFE. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons. CFE also has filed this proposed rule change with the Commodity Futures Trading Commission (“CFTC”). CFE filed a written certification with the CFTC under Section 5c(c) of the Commodity Exchange Act (“CEA”) <sup>2</sup> on February 14, 2020.

#### I. Self-Regulatory Organization’s Description of the Proposed Rule Change

The Exchange proposes to clarify and amend CFE’s rule provisions relating to Exchange jurisdiction. The scope of this filing is limited solely to the application of the proposed rule change to security futures that may be traded on CFE. Although no security futures are currently listed for trading on CFE, CFE may list security futures for trading in the future. The text of the proposed rule change is attached as Exhibit 4 to the filing but is not attached to the publication of this notice.

#### II. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, CFE included statements concerning the purpose of and basis for the proposed

rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. CFE has prepared summaries, set forth in Sections A, B, and C below, of the most significant aspects of such statements.

#### A. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

##### 1. Purpose

CFE Rule 308 (Consent to Exchange Jurisdiction) governs the Exchange’s jurisdiction. Rule 308(c) currently provides that any Person initiating or executing a transaction on or subject to the rules of the Exchange directly or through an intermediary, and any Person for whose benefit such a transaction has been initiated or executed, expressly consents to the jurisdiction of the Exchange and agrees to be bound by and comply with the rules of the Exchange in relation to such transactions, including, but not limited to, rules requiring cooperation and participation in investigatory and disciplinary processes. The cover page to the CFE Rulebook repeats this language from Rule 308(c). CFE’s rules refer to any Person subject to Rule 308(c) as a Market Participant.

CFTC Regulation 38.151(a)<sup>3</sup> provides that prior to granting any member or market participant access to its markets, a designated contract market (“DCM”) must require that the member or market participant consent to its jurisdiction. CFE originally adopted Rule 308(c) in order to comply with CFTC Regulation 38.151(a).<sup>4</sup>

The proposed rule change clarifies and amends CFE’s rule provisions relating to Exchange jurisdiction.

First, CFE proposes to revise CFE Rule 308(c) and amend the cover page of the CFE Rulebook to clarify that any futures commission merchant, broker-dealer, introducing broker, associated person, or foreign Person performing a similar role, that charges a commission or fee in connection with a transaction on or subject to the rules of the Exchange also expressly consents to the Exchange’s jurisdiction (and thus is a Market Participant under CFE rules).

The proposed rule change furthers the Exchange’s compliance with CFTC Regulation § 38.151(a)<sup>5</sup> by clarifying the scope of the Exchange’s jurisdiction in relation to intermediaries. Between when a customer enters an order and its

actual execution, the order may be routed through multiple different broker-dealers, futures commission merchants, or introducing brokers before execution. The language of the proposed rule change clarifies that if there is a third party involved in the order routing process that receives a commission, it is still subject to the Exchange’s jurisdiction even if that party is not a customer of the ultimate execution firm. The proposed rule change was developed by the Joint Compliance Committee, and the Exchange understands that other DCMs also are adopting proposed rule changes that contain the same or similar language.<sup>6</sup>

Second, CFE is proposing to amend the definition of the term “Person” included in Chapter 1 of the CFE Rulebook. CFE’s rules currently define “Person” to mean “any natural person, association, partnership, limited liability company, joint venture, trust or corporation.” CFE proposes to amend this definition to add “sole proprietorship” to the list included in the definition and to add “any other type of entity or organization” to the end of this list to make clear that the definition of “Person” encompasses other potential types of entities or organizations that may not be specifically enumerated in the current list under the definition. These proposed changes serve to clarify the meaning and scope of the term “Person” as used throughout CFE’s rules, including in particular within CFE’s rule provisions relating to Exchange jurisdiction.

Third, CFE is proposing to revise Rule 308 to delete current Rule 308(e)(i). Rule 308(e)(i) provides that every Person in the chain of custody of an order submitted to CFE that is not a CFE Trading Privilege Holder (“TPH”) or Authorized Trader of a TPH, commencing with the original initiation of the order until its receipt by CFE, shall be deemed to be a Market Participant. This provision was recently added to CFE’s rules and was intended to provide the same type of clarification as is intended by the provision that CFE is now adding to Rule 308(c) in

<sup>6</sup> The Joint Compliance Committee (“JCC”) is a voluntary, cooperative organization comprised of members who are self-regulatory organizations registered under the CEA. The JCC operates through its members to protect market integrity within and across the members’ markets. It provides a forum to share information and ideas on regulatory topics of interest, as well as identify issues within the industry or elsewhere that may impact their markets, members, or self-regulatory responsibilities. CFTC staff representing the CFTC Division of Market Oversight Market Compliance Section also participate in JCC meetings.

<sup>1</sup> 15 U.S.C. 78s(b)(7).

<sup>2</sup> 7 U.S.C. 7a–2(c).

<sup>3</sup> 17 CFR 38.151(a).

<sup>4</sup> *Id.*

<sup>5</sup> *Id.*