

Corporate & Financial Weekly Digest

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CFTC and SEC Publish Joint Advance Notice of Proposed Rulemaking on Swaps Regulation

Co-authored by [Vanessa L. Friedman](#)

The Commodity Futures Trading Commission and the Securities and Exchange Commission have issued a joint advance notice of proposed rulemaking (the Joint Notice) seeking public comment regarding the agencies' mandate to regulate swaps and security-based swaps under the Dodd-Frank Wall Street Reform and Consumer Protection Act. The Joint Notice requests public comments on the CFTC's and SEC's joint regulation of "mixed swaps" and the adoption of regulations further defining the following terms: (1) "swap"; (2) "security-based swap"; (3) "swap dealer"; (4) "security-based swap dealer"; (5) "major swap participant"; (6) "major security-based swap participant"; (7) "eligible contract participant"; and (8) "security-based swap agreement". The comment period for the Joint Notice expires on September 20.

A copy of the *Federal Register* release of the Joint Notice is available [here](#).

Katten Muchin Rosenman LLP
Charlotte Chicago Irving London Los Angeles New York Washington, DC