

COVID-19 Regulatory Actions and Developments

DCM/SEF

Commodity Futures Trading Commission (CFTC)

Date: March 17, 2020

Temporary No-Action Relief for DCM and SEF Members

CFTC staff issued temporary no-action relief to members of designated contract markets and swap execution facilities that are not registered with the CFTC if such members fail to comply with any requirement to record date and time by timestamp or other timing device pursuant to applicable CFTC regulations, subject to certain conditions. This relief extends through June 30, 2020.

[External Link](#)

Date: March 17, 2020

Temporary No-Action Relief for DCMs

CFTC staff issued temporary no-action relief to designated contract markets that fail to comply with audit trail requirements, to the extent that those failings are a result of interactions with market participants who are relying on other COVID-19-related guidance issued by the CFTC on March 17, 2020, as described herein, subject to certain conditions. This relief extends through June 30, 2020.

[External Link](#)

Date: March 17, 2020

Temporary No-Action Relief for SEFs

CFTC staff issued no-action relief until June 30, 2020 to swap execution facilities that cannot meet requirements around recording of voice communications, subject to certain conditions. In addition, CFTC staff issued a 30-day extension on filing SEF CCO annual reports and fourth quarter financial reports, subject to certain conditions.

[External Link](#) and [External Link](#)