Recordkeeping and Reporting Requirements for Security-Based Swap Dealers, Major Security-Based Swap Participants, and Broker-Dealers; Correction

AGENCY: Securities and Exchange Commission.

ACTION: Correcting amendment.

SUMMARY: On December 16, 2019, the Securities and Exchange Commission revised Commission rules. That document inadvertently listed an incorrect subordinate paragraph in a cross-reference to a rule. This document corrects the final regulations.

DATES: Effective on [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

FOR FURTHER INFORMATION CONTACT: Sheila Dombal Swartz, Senior Special Counsel, at (202) 551-5545; Division of Trading and Markets, Securities and Exchange Commission, 100 F Street, NE, Washington, D.C. 20549-7010.


List of Subjects in 17 CFR Part 240

Brokers, Confidential business information, Fraud, Reporting and recordkeeping requirements, Securities.

Accordingly, 17 CFR part 240 is corrected by making the following correcting amendments:

PART 240–GENERAL RULES AND REGULATIONS, SECURITIES EXCHANGE ACT
1. The general authority citation for part 240 continues to read as follows:


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2. In § 240.18a-6, revise paragraph (b)(1)(x) to read as follows:

§ 240.18a–6 Records to be preserved by certain security-based swap dealers and major security-based swap participants.

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(b)(1) * * *

(x) The records required to be made pursuant to § 240.18a–1(e)(2)(iii)(F)(1) and (2).

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Vanessa A. Countryman, Secretary.

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