

The Impact of Dodd-Frank on Energy and Commodities Traders

SEPTEMBER 22, 2011

Winston & Strawn presented an eLunch titled “The Impact of Dodd-Frank on Energy and Commodities Traders” on Thursday, September 22, 2011 at 12:15 p.m. (Central).

Several significant provisions of the Dodd-Frank Act of 2010 (DFA) became effective on July 16, 2011, and the CFTC is scheduled to finalize most of its rules under the DFA before December 31, 2011. The CFTC has issued several guidance releases and rules: (i) to clarify what provisions of the DFA are subject to immediate compliance; and (ii) to assist market participants with designing their own compliance programs on a going forward basis while the new CFTC rules become effective one-by-one.

This briefing focused on:

- how DFA provisions impact energy, metals, agricultural, forex, and other commodity traders as of the end of 2011 and in 2012;
- what new business conduct and documentation requirements should be considered and implemented by market participants (e.g., compliance policies and procedures, new disclosures, chief compliance officer duties); and
- what are new emerging trends in CFTC enforcement that will become particularly relevant after the effectiveness of the rules by the end of 2011.

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