



U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
Telephone: (202) 418-6700
Facsimile: (202) 418-5407
jsterling@cftc.gov

Division of Swap Dealer and
Intermediary Oversight

Joshua B. Sterling
Director

TO: All CFTC Registrants

FROM: Joshua B. Sterling, Director
Division of Swap Dealer and Intermediary Oversight

DATE: May 22, 2020

RE: Delivery of DSIO Alerts via GovDelivery

The Division of Swap Dealer and Intermediary Oversight (DSIO) is interested in keeping the lines of communication open with all of our registrants. This memorandum describes how we intend to communicate directly with all registrants on important issues of general applicability in the form of DSIO Alerts.

DSIO will endeavor to continue limiting DSIO Alerts to issues that we believe may warrant your immediate attention. For example, we recently sent several DSIO Alerts on cyber security developments that we considered to be serious and time-sensitive. While we view DSIO Alerts as an important tool for direct communication with registrants, given their intended purpose and scope, we expect that they will not be issued routinely.

Going forward, you will receive DSIO Alerts via email directly from the CFTC via GovDelivery. GovDelivery is a third-party email subscription service provided by Granicus. For information about Granicus's privacy policies, visit <https://granicus.com/privacy-policy/>. For information about CFTC's privacy program more generally, visit www.cftc.gov/privacy.

DSIO Alerts will be sent to the email address(es) you provided as part of your registration filing. Accordingly, should you wish to update your contact information, please do so by updating your registration filing with the National Futures Association. Please bear in mind that we would expect DSIO Alerts to receive your prompt attention.

If you have any questions about this matter, please contact Barry McCarty, Special Counsel, at cmccarty@cftc.gov, or Helene Schroeder, Special Counsel, at hschroeder@cftc.gov.

Joshua B. Sterling
Director