



§ 2.2 Authority to affix seal.

(a) The following officials of the Commodity Futures Trading Commission are authorized to affix the Seal to appropriate documents and other materials of the Commission for all purposes including those authorized by 28 U.S.C. 1733(b) (relating to authenticated copies of agency documents used as evidence): The Chairman and all Commissioners, the General Counsel, the Executive Director, the Directors of Divisions, and the Secretariat.

(b) The officials named in paragraph (a) of this section, may redelegate, and authorize re delegation of this authority, except that the Secretary may redelegate this authority only to the Deputy Secretary.

[41 FR 9552, Mar. 5, 1976, as amended at 51 FR 37177, Oct. 20, 1986]

§ 2.3 Prohibitions against misuse of seal.

(a) Fraudulently or wrongfully affixing or impressing the Seal to or upon any certificate, instrument, document or paper or with knowledge of its fraudulent character, or with wrongful or fraudulent intent, using, buying, procuring, selling or transferring to another any such paper is punishable under section 1017 of title 18, U.S. Code.

(b) Falsely making, forging, counterfeiting, mutilating, or altering the Seal, or knowingly using a fraudulent or altered Seal or possessing any such

Seal knowingly is punishable under section 506 of title 18, U.S. Code.

PART 3—REGISTRATION

Subpart A—Registration

- Sec.
- 3.1 Definitions.
- 3.2 Registration processing by the National Futures Association; notification and duration of registration.
- 3.3 [Reserved]
- 3.4 Registration in one capacity not included in registration in any other capacity.
- 3.5-3.9 [Reserved]
- 3.10 Registration of futures commission merchants, introducing brokers, commodity trading advisors, commodity pool operators and leverage transaction merchants.
- 3.11 Registration of floor brokers and floor traders.
- 3.12 Registration of associated persons of futures commission merchants, introducing brokers, commodity trading advisors, commodity pool operators and leverage transaction merchants.
- 3.13 Registration of agricultural trade option merchants and their associated persons.
- 3.14-3.20 [Reserved]
- 3.21 Exemption from fingerprinting requirement in certain cases.
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- 3.23-3.29 [Reserved]
- 3.30 Current address for purpose of delivery of communications from the Commission or the National Futures Association.
- 3.31 Deficiencies, inaccuracies, and changes, to be reported.
- 3.33 Withdrawal from registration.

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- 3.40 Temporary licensing of applicants for associated person, floor broker or floor trader registration.
- 3.42 Termination.
- 3.43 Relationship to registration.
- 3.44 Temporary licensing of applicants for guaranteed introducing broker registration.
- 3.45 Restrictions upon activities.
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Subpart C—Denial, Suspension or Revocation of Registration

- 3.50 Service.
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- 3.55 Suspension and revocation of registration pursuant to section 8a(2) of the Act.