

Agency for International Development

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Commodity Futures Trading Commission

The Commodity Exchange Act (CEA) establishes a regulatory scheme for the commodity futures and options industry that generally depends on industry self-regulation with federal oversight by the Commodity Futures Trading Commission (CFTC). The National Futures Association (NFA) and other self-regulatory organizations (SROs) generally conduct routine compliance reviews in the futures industry. The NFA is responsible for most of the compliance reviews of retail sales practices in the industry and in this regard, it has a program for the voluntary review of promotional materials. NFA's Internet Web site includes a "Contact NFA" section providing telephone numbers for its general Information Center and specific compliance contact personnel (www.nfa.futures.org/contact/indexContact.asp), as well as various published compliance information (www.nfa.futures.org/compliance/publications.aspm).

The CFTC provides compliance guidance to small businesses through several methods. The CFTC's Internet Web site includes a "Law & Regulation" section (www.cftc.gov/cftc/cftclawreg.htm) providing general information concerning the requirements of the CEA, CFTC Orders, and staff exemptive, no-action and interpretive letters. This section links to a specific "Compliance" page (www.cftc.gov/tm/compliance.htm) that contains guidance to assist firms and individuals who conduct commodity futures and options business with customers in complying with the CEA provisions and CFTC Regulations applicable to their activities. Informal guidance also is available through the "Publications" section of the CFTC Web site (www.cftc.gov/cftc/cftcreports.htm), which contains "CFTC Backgrounders" and other brochures providing information of use to small businesses. Staff members in the CFTC's various divisions offer informal assistance and guidance in response to telephone

inquiries and e-mail messages submitted through the CFTC Web site. These include:

- *The Division of Clearing and Intermediary Oversight* [(202) 418-5430]—inquiries concerning rules governing protection of customer funds, trading and sales practice issues, registration and disclosure issues, and financial requirements.
- *The Division of Market Oversight* [(202) 418-5260]—Inquiries concerning market and product design, market surveillance, position reporting, and trade practice issues.
- *The Office of General Counsel* [(202) 418-5120]—assigns an "Attorney of the Day" to answer telephone inquiries about the CEA and CFTC Regulations.
- *The Division of Enforcement*—provides notice to small businesses about their right to comment on CFTC actions pursuant to the Small Business Regulatory and Enforcement Fairness Act (SBREFA) whenever it makes a request to provide information voluntarily or pursuant to subpoena or the inspection provisions of the CEA. The CFTC and its staff are committed to ensuring that small businesses are provided a non-retaliatory environment in which to exercise their right to comment.

The CFTC has a small business liaison located in the Office of External Affairs. When the agency receives inquiries related to small business, such as communications from the office of the National Ombudsman, they are forwarded to the liaison. The liaison also works with the Ombudsman to provide information and resolve any issues or complaints received by the Ombudsman's office.

Commodity Futures Trading Commission Single Point of Contact: Terry S. Arbit, Associate General Counsel, (Legislative Affairs), Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581, Telephone: 202-418-5257. E-mail: tarbit@cftc.gov.

Consumer Product Safety Commission

- <http://www.cpsc.gov/businfo>, 1-800-638-CPSC
- CPSC offers publications, web based compliance and on-line / e-mail service, including, but not limited to *A Small Business Guide to the U.S. CPSC* <http://www.cpsc.gov/businfo/smbudgde.html>

Consumer Product Safety Commission Single Point of Contact: Thomas W. Murr, Jr., Deputy Executive Director, U.S. Consumer Product Safety Commission, 4330 East West Highway, Bethesda, MD 20814, Telephone: 301-504-7907. E-mail: tmurr@cpsc.gov.

DC Court Services & Offender Supervision

DC Court Services & Offender Supervision Single Point of Contact: Jim Williams, Associate Director, Management and Administration, 633 Indiana Avenue, NW., Suite 1323, Washington, DC 20004-2902, Telephone: 202-220-5707. E-mail: jim.williams@csosa.gov.

Environmental Protection Agency

EPA currently has over 100 initiatives, activities, and services directed at small business needs. EPA efforts include a toll-free hotline; newsletters; Web sites; e-mail listserv; information alerts on emerging regulatory issues; industry sector specific guides directed at providing information on specific industry processes, Federal regulatory requirements, compliance history and pollution prevention information; expert systems; voluntary programs; and training programs.

EPA's Small Business Ombudsman (SBO) provides a "gateway" and dedicated support for small businesses to reach EPA compliance assistance resources offered by EPA, the states and other sources. The SBO answers technical and regulatory questions on a toll-free hotline, provides more than 350 free EPA publications, develops compliance assistance tools, and gives direct access to regulatory assistance on a comprehensive Web site. It publishes the SBO newsletter twice a year to report important EPA activities and give timely alerts to small businesses and interested service providers on EPA actions. The SBO acts as the focal point and provides multi-level support and coordination for an extensive national network of small business assistance programs, and works with small businesses, service providers, and state and regional officials to address small business needs.

The Small Business Gateway is a Web site that links to EPA's assistance programs for small business. <http://www.epa.gov/smallbusiness/>

EPA also partners with industry representatives and others on sector-specific Compliance Assistance Centers. The centers support the agriculture, automotive service and repair, chemical manufacturing, metal finishing, paints and coatings, printed-wiring-board manufacturing, printing, transportation, construction, auto recycling, and border compliance sectors by providing tools such as checklists, plain language guides, and technical information to help small businesses understand their regulatory requirements.