

# Recently Published Regulatory Notices

March 16 – 31, 2018



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Prepared by Jane Young

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Date	SRO	Title	Description	Important To
1 3/18/18	CAT	<a href="#">CAT General FAQs</a>	CAT updates its General FAQs	CAT Operations Equity Trading Options Trading Compliance Technology
2 3/27/18	Cboe	<a href="#">SR-Cboe-2018-021 Proposal to Amend Rules Regarding Market Maker Quoting Obligations</a>	Cboe proposes amendments to provide that the continuous electronic quoting obligations may be satisfied by market-makers either individually or collectively with market-makers of the same TPH organization.	Options Trading Compliance Technology
3 3/28/18	Cboe	<a href="#">CBOE Regulatory Notice 18-011 April 2, 2018 Effective Date for Changes to Market-Maker Continuous Electronic Quoting Obligation</a>	Cboe advises the changes to the Market-Maker Continuous Electronic Quoting obligation will become effective on April 2, 2018.	Options Trading Compliance Technology
4 3/21/18	DTC	<a href="#">SR-DTC-2018-002 Proposed Rule Change to Amend the DTC Rules and the DTC Fee Schedule Regarding Proposed Changes to Requirements and New Fees Relating to Participant and Pledgee Applications</a>	DTC files changes to its fee structure.	Operations
5 3/21/18	FICC – GOV	<a href="#">FICC Important Notice GOV397-18 TMPG Fails Charges</a>	In light of the Fed's interest rate hike, FICC announces a change in the TMPG fail charge rate effective with the close of the Fedwire on March 22, 2018.	Operations Clearance & Settlement Technology

For additional information, please contact Jane Young at 720-651-8010 or [janeyoung@verusconsulting.net](mailto:janeyoung@verusconsulting.net).

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6	3/21/18	FINRA	<a href="#"><u>Fixed Income Confirmation Disclosure: Frequently Asked Questions (FAQ)</u></a>	FINRA updates its guidance on its Fixed Income Price Transparency initiative.	Fixed Income Trading Operations Compliance Legal Technology
7	3/23/18	FINRA	<a href="#"><u>FINRA Regulatory Notice 18-10 FINRA Requests Comment on the Effectiveness and Efficiency of Its Carrying Agreements Rule</u></a>	FINRA issues a Request for Comment on its Carrying rule.	Correspondent Services Operations Compliance Legal
8	3/23/18	FINRA	<a href="#"><u>OATS Reporting Technical Specifications</u></a>	FINRA releases updated OATS Technical Specifications related to the pending approval of the NYSE National Stock Exchange.	OATS Reporting Operations Technology Compliance
9	3/28/18	FINRA	<a href="#"><u>FINRA Regulatory Notice 18-11 FINRA Cautions Members Regarding Recommending and Entering Unpriced Customer Orders at and Around the Opening on the First Day of Trading of a Direct Listing</u></a>	FINRA issues advisory to member firms to exercise caution in recommending and entering unpriced customer orders at and around the opening on the first day of trading of a direct listing of a security.	Sales Operations Compliance Legal Technology
10	3/20/18	IRS	<a href="#"><u>FATCA News &amp; Information 2018-1 Draft FATCA Certification Questions</u></a>	IRS releases draft certification questions to assist Responsible Officers in preparing to complete the FATCA Certifications.	Tax Reporting FATCA Technology
11	3/29/18	IRS	<a href="#"><u>FATCA News &amp; Information 2018-2 New FATCA Notification Error Messages and Supporting Online User Documentation</u></a>	IRS announces updates to user documentation.	Tax Reporting FATCA Compliance Technology

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12 3/19/18	MSRB	<a href="#">MSRB Regulatory Notice 2018-05 MSRB Provides New and Updated FAQs on Confirmation Disclosure and Prevailing Market Price</a>	MSRB issues guidance related its Fixed Income Price Transparency initiative.	Muni Bond Trading Operations Compliance Legal Technology
13 3/19/18	Nasdaq	<a href="#">Nasdaq Equity Technical Update 2018-1 Nasdaq, BX and PSX Updates Specifications to Support Contra Broker Tags</a>	The Nasdaq equity market have posted updated INET FIX specifications to support Contra-Broker related tags on the Execution Report message.	Equity Trading Operations Technology
14 3/20/18	NSCC	<a href="#">NSCC Important Notice 8532 Mutual Fund Profile Service II – Profile Security Web and Mainframe Enhancements</a>	NSCC announces several enhancements to its Mutual Fund Profile Service effective on July 9, 2018.	Mutual Funds Operations Technology
15 3/20/18	NSCC	<a href="#">NSCC Important Notice 8531 Social Code Enhancements</a>	NSCC will add several new Social Codes effective July 9, 2018.	Mutual Funds Operations Technology
16 3/22/18	NSCC	<a href="#">NSCC Important Notice 8534 I&amp;RS March 2018 Enhancement Release Important Notice</a>	NSCC reminds participants of upcoming enhancements to its I&RS processing effective March 29, 2018.	Annuities Operations Technology
17 3/23/18	OCC	<a href="#">SR-OCC-2018-007 Proposed Rule Change by the Options Clearing Corporation Concerning its Trade Acceptance and Novation Rules</a>	OCC files rule change to clarify the time at which OCC accepts and novates a transaction it clears and streamline provision related to trade reporting and novation.	Options Trading Operations Compliance Risk Technology
18 3/26/18	OCC	<a href="#">OCC Info Memo #42834 New ENCORE ID Processing for Clearing Members</a>	OCC enhancements allow the security administrator of each firm to maintain access for their ENCORE users.	Operations Technology

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