

Recently Published Regulatory Notices

May 16-31 2018



Prepared by Jane Young

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Date	SRO	Title	Description	Important To
1 5/16/18	CAT	CAT Interpretive FAQs	CAT updates its list of interpretive FAQs.	CAT Equity Trading Operations Compliance Technology
2 5/18/18	DTC	DTC Important Notice 8734-18 Account Number Format Change	DTC announces an initiative related to DTC account numbers.	Operations Technology
3 5/24/18	DTC	DTC Important Notice 8840-18 Reminder: Memo Segregation Enhancements – User Testing	DTC reminds participants to test Stock Dividend – Distributions and Corporate Reorganization processing using Memo Seg indicators in the PSE environment. The enhancements are scheduled for production in July 2018.	Operations Corporate Actions Technology
4 5/30/18	DTC	DTC Important Notice 8841-18 Updated Design for the CA Web Application	DTC announces a user interface framework change on July 19, 2018 EOD, for its CA Web that will render browsers other than Internet Explorer 11 and Google Chrome 46 or later incompatible.	Operations Corporate Actions Technology
5 5/17/18	FICC	FICC Important Notice GOV423.18 Required Updates for Legal Opinions – Reminder	FICC reminds Foreign Netting Members of their annual requirement to update the foreign legal opinions on file with FICC.	Compliance Legal
6 5/17/18	FINRA	SR-FINRA-2018-020 Proposed Rule Change to Amend FINRA Rule 6710 to Modify the Definition of “Agency Debt Security”	In response to the recent actions of Fannie Mae and Freddie Mac, FINRA proposes to amend its TRACE rules to expand the definition of an “Agency Debt Security.”	Fixed Income Trading TRACE Reporting Security Master Operations Technology

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7 5/18/18	FINRA	<u>FINRA Information Notice Enhancements to FINRA's Disclosure Review Process Relating to Public Financial Records</u>	Beginning July 9, 2018, FINRA will conduct a public record search within 15 calendar days from the date of an applicant's Form U4 and return to members any information related to any discrepancy from its search and the information provided on the Form U4.	Compliance Registration
8 5/18/18	FINRA	<u>SR-FINRA-2018-021 Proposed Rule Change to Amend FINRA Regulation, Inc. By-Laws to Reorganize FINRA District Committees Into Regional Committees and Conforming Changes to FINRA Rules</u>	Responding to industry feedback, FINRA proposes amendments to its By-Laws to reorganize District Committees and modify the committees' size, structure and governance.	Senior Management Compliance Legal
9 5/16/18	MSRB	<u>MSRB Regulatory Notice 2018-09 Request for Comment on Draft MSRB Rule G-36, on Discretionary Transactions in Customer Accounts, and Related Draft Amendments</u>	MSRB issues request for comment on its Rule G-36, which would re-establish a standalone rule governing transactions in discretionary accounts.	Compliance Legal
10 5/24/18	Nasdaq	<u>Nasdaq Options Technical Alert 2018-11 Nasdaq ISE/GEMX/MRX to Introduce Order/Quote Protection Enhancement</u>	Nasdaq Markets announce rolling dates for certain enhancements to its order and quote protections.	Options Trading Operations Compliance Technology

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11 5/17/18	NSCC	NSCC Important Notice 8557 Consolidated Trade Summary (CTS) Rewrite SMART/Search Print Image Closure	NSCC advises participants it will retire the CTS rewrite SMART/Search report on August 30, 2018.	Operations Clearance and Settlement Technology
12 5/22/18	NSCC	NSCC Important Notice 8546 Account Number Format Change	NSCC announces on June 22, 2018, UTC will send only one gap fill request per firm regardless of amount except when unusual processing is identified.	Operations Clearance & Settlement Technology
13 5/30/18	NSCC	NSCC Important Notice 8561 NSCC Business Continuity Disaster Recovery - Testing Dates and Modified Insurance & Retirement Services (I&RS) Production Processing Schedule	NSCC issues plans and details of upcoming Business Continuity DR tests scheduled in August and October 2018 as it relates to I&RS processing.	Operations Annuities Processing Technology Business Continuity
14 5/30/18	NSCC	NSCC Important Notice 8562 NSCC Business Continuity and Disaster Recovery - Testing Dates and Modified Mutual Funds Processing Schedule	NSCC issues plans and details of upcoming Business Continuity DR tests scheduled in August and October 2018 as it relates to Mutual Fund processing.	Mutual Funds Operations Technology Business Continuity
15 5/18/18	OCC	OCC Info Memo #43086 OCC's New Mailing Address	OCC publishes its new mailing address.	Operations Compliance
16 5/31/18	OCC	SR-OCC-2018-008 Proposed rule change concerning enhancements to The Options Clearing Corporation's Stress Testing and Clearing	OCC proposes changes to its By-Laws and Rules that will build a substantially new Clearing Fund Methodology Policy and adopt a document describing such methodology and stress testing.	Options Trading Operations Risk Legal Compliance Technology

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Date	SRO	Title	Description	Important To
17 5/23/18	SEC	<u>SEC Proposed Rule Release 33-10498 Covered Investment Fund Research Reports</u>	SEC proposes a new rule under the '33 Act to establish a safe harbor for an unaffiliated broker or dealer participated in a securities offering of a "covered investment fund" to publish or distribute a "covered investment fund research report."	Compliance Legal Syndicate Research