

Recently Published Regulatory Notices

July 16 – 31 of 2018



Prepared by Jane Young

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Date	SRO	Title	Description	Important To
1 07/19/18	Cboe	Cboe Regulatory Circular RG18-025 Mandatory Participation in Disaster Recovery Testing	Cboe announces details of its mandatory test scheduled for October 13, 2018.	Business Continuity Options Trading Operations Technology
2 7/16/18	DTC	DTC Important Notice 9100-18 Destruction of Non-Transferable Securities Certificates - 134th Cycle	DTC publishes list of non-transferrable securities scheduled for destruction on or after October 16, 2018.	Operations Compliance Legal
3 7/20/18	DTC	SR-DTC-2018-004 Modifications to the DTC Underwriting Service Guide	DTC proposes changes to its Underwriting Service Guide.	Syndicate Operations Clearance & Settlement Technology
4 7/26/18	DTC	DTC Important Notice 9115-18 Memo Segregation Enhancements – Implementation to Production on Friday, August 17, 2018	DTC advises participants that the previously announced enhancements to Memo Segregation will be available in production on August 17, 2018.	Operations Clearance & Settlement Technology
5 7/26/18	DTC	DTC Important Notice 9122-18 Update to Important Notice 8760 Regarding Corporate Actions Web (CA Web) Production Parallel Testing Period for Reorganization Lifecycle	DTC has revised the date for commencement of the CA Web parallel testing period for reorg lifecycle functionality to August 16, 2018.	Operations Reorganization Technology

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6 7/18/18	FICC	FICC Important Notice GOV449-18 Migration of GSD's U.S. Treasury Auction Settlement of UST Bills and Bonds from JPMorgan Chase Bank, N.A. to Bank of New York Mellon	FICC reminds participants that on August 6, 2018, all U.S. Treasury auction-related settlements will occur in the GSD account at BNYM.	Gov't Bond Trading Operations Clearance & Settlement Technology
7 7/26/18	FICC	SR-FICC-2018-006 Codify the Processing of Conditional Prepayment Rate Claims in the MBSD Rules and Make Other Changes	FICC files amendments to its rule to add terms governing MBSD's processing of condition prepayment rate claims and make certain clarifications and corrections to its rules.	TBA Fixed Income Trading Operations Clearance & Settlements Technology
8 7/23/18	FINRA	FINRA Election Notice of Annual Meeting of FINRA Firms and Proxy	FINRA announces its Annual Meeting will be held on August 28, 2018 2:00 PM ET to fill seats on its Board of Governors.	Senior Management
9 7/23/18	FINRA	FINRA Regulatory Notice 18-21 SEC Approves Amendments to Arbitration Codes to Provide an Additional Hearing Option in Simplified Arbitration	FINRA amends its rule providing for a new option for simplified arbitration.	Compliance Legal

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10 7/26/18	FINRA	<u>FINRA Regulatory Notice 18-22 FINRA Requests Comment on Proposed Amendments to Its Discovery Guide to Require Production of Insurance Information in Arbitration</u>	FINRA issues request for comment on proposed amendments to the Discovery Guide Firm/Associated Persons Document Production list to require, upon request, the production of documents concerning third-party insurance coverage in a customer arbitration proceeding.	Compliance Legal Technology
11 7/26/18	FINRA	<u>FINRA Regulatory Notice 18-23 FINRA Requests Comment on a Proposal Regarding the Rules Governing the New and Continuing Membership Application Process</u>	FINRA seeks comment on proposed amendments to its Membership Proceeding rules because of its retrospective review of the rule and processes.	Senior Management Compliance Legal
12 7/30/18	FINRA	<u>FINRA Special Notice FINRA Requests Comment on Financial Technology Innovation in the Broker-Dealer Industry</u>	FINRA issues request for comment on “fintech” and other technology innovations within the industry.	Senior Management Operations Trading Technology Compliance
13 7/19/18	IRS	<u>FATCA News & Information 2018-8 Upcoming FATCA Registration System Upgrade Includes Updated Classifications, Certification of Pre-Existing Account and Periodic Certification</u>	IRS announces enhancements to its FATCA Registration System	FATCA Tax Reporting Operations Technology

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14 7/31/18	IRS	<u>FATCA News & Information 2018-9 Certification of Pre-Existing Accounts (COPA) and Periodic Certifications are Now Available in the FATCA Registration System</u>	The IRS has updated the Foreign Account Tax Compliance Act (FATCA) Registration System to incorporate the certification of pre-existing accounts (COPA) and periodic certification process.	Tax Reporting FATCA Operations Technology
15 7/19/18	MSRB	<u>MSRB Regulatory Notice 2018-15 Request for Comment on Draft Amendments to MSRB Rules on Primary Offering Practices</u>	MSRB issues request for comment on draft amendments to its Rule G-11 and G-32 related to primary offering practices with the municipal marketplace.	Public Finance Muni Bond Trading Operations Compliance Technology
16 7/23/18	MSRB	<u>MSRB Regulatory Notice 2018-16 MSRB Temporarily Reduces Underwriting, Transaction and Technology Fees Assessed on Dealers</u>	MSRB announces a temporary reduction in the rate of assessment for its Rule A-13 fees by approximately one-third during the period of October 1, 2018 – December 31, 2018.	Muni Bond Trading Public Finance Operations Technology
17 7/17/18	Nasdaq	<u>Nasdaq Options Trader Alert 2018-31 Nasdaq Introduces a Charge Details Report</u>	Nasdaq announces a new report – Charge Details Billed Account Report – for PHLX, BX and NOM that details daily the month-to-date charge information at the trade level.	Options Trading Operations Technology

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18 7/20/18	Nasdaq	Nasdaq Options Regulatory Alert 2018-20 Nasdaq PHLX Modifies Rules Pertaining to FBMS and Floor Procedures	Nasdaq announces the renaming of its Floor Broker Management System to Floor Based Management System and on August 17, 2018, all members operating on the Exchange Floor will be required to enter and submit all floor trades using FBMS.	Options Trading Operations Technology
19 7/27/18	Nasdaq	SR-Nasdaq-2018-062 Proposal to Revise The Nasdaq Options Market LLC Rules at Chapter XV, Section 5 to Amend the Nasdaq Options Regulatory Fee	Nasdaq files rule change to reduce its Options Regulatory Fee to \$0.0008 effective on August 1, 2018.	Options Trading Operations Technology
20 7/30/18	Nasdaq	Nasdaq Options Regulatory Alert 2018-22 Nasdaq Announces Changes to the FTP Surveillance Reports Location	Nasdaq publishes a list of FTP option surveillance reports that will be available on August 1, 2018 on its new report portal, Report HQ.	Compliance Legal Technology
21 7/26/18	NSCC	SR-NSCC-2018-005 Rules Revision to Provide for the Delivery of Certain Transaction Data Relating to Variable Annuity and Variable Life Insurance Subaccounts	NSCC files proposal related to its I&RS services for the delivery of certain transaction data relating to variable annuity and variable life insurance subaccounts and associated fees.	Annuities Operations Technology
22 7/23/18	OCC	OCC Info Memo #43403 External Parallel Reporting for Proposed Change in Clearing Fund Methodology	OCC announces the availability of its pro forma stress test and clearing fund results based on proposed changes. The reports are available via ENCORE.	Operations Risk Technology

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23 7/31/18	OCC	OCC Info Memo #43448 Margin Modeling Enhancements	OCC issues detailed memo describing the effects of its planned margin modeling enhancements scheduled for implementation in 2Q 2019.	Options Trading Risk Operations Technology
24 7/18/18	SEC	SEC Concept Release 33-10521 Concept Release on Compensatory Securities Offerings and Sales	SEC publishes a Concept Release soliciting comment on the exemption from registration under the '33 Act for securities issued by non-reporting companies pursuant to compensatory arrangements and the associated Form S-8.	Public Finance Legal Compliance
25 7/24/18	SEC	SEC Proposed Rule Release 33-10526 Financial Disclosures About Guarantors and Issuers of Guaranteed Securities and Affiliates Whose Securities Collateralize a Registrant's Securities	SEC proposes amendments to the financial disclosure requirements under Regulation S-X.	Corporate Finance Legal Compliance