

Recently Published Regulatory Notices

August 1 - 15 of 2018



999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Prepared by Jane Young

Experience You Can Trust

Date	SRO	Title	Description	Important To
1 8/2/18	CAT	CAT NMS Plan Participant Technical Specification v1.7	CAT releases an updated version of the Technical Specifications for Participants.	CAT Equity Trading Operations Compliance Technology
2 8/14/18	CAT	CAT NMS Plan Industry Update on Plan Recording	CAT issues recording of conference call to update industry on the plan.	CAT Operations Compliance Technology
3 8/14/18	CAT	CAT NMS Plan Industry Update on Plan Presentation	CAT issues copy of presentation used during its conference call to update industry on the plan.	CAT Operations Compliance Technology
4 8/15/18	CAT	CAT Interpretive FAQs	CAT updates its list of Interpretive FAQs.	CAT Equity Trading Operations Options Trading Compliance Technology
5 8/15/18	CAT	OATS to CAT FAQ Mapping	CAT release a mapping of the OATS FAQs to CAT FAQs.	CAT Equity Trading Operations Options Trading Compliance Technology

Recently Published Regulatory Notices

August 1 - 15 of 2018



Prepared by Jane Young

999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Experience You Can Trust

Date	SRO	Title	Description	Important To
6 8/7/18	Cboe	SR-Cboe-2018-055 Proposed Rule Change to Amend Rule 6.21	Cboe proposes amendment to Rule 6.21, which govern give up transactions to provide that TPHs must first have received written authorization from a CTPH before it may give up that CTPH.	Options Trading Operations Clearance & Settlements Technology
7 8/8/18	Cboe	Sr-Cboe-2018-056 Proposed Rule Change to Adopt Rule 6.57	Cboe proposes to amend its rule to adopt Rule 6.57 to facilitate the reduction of SPX option positions maintained by Cboe Options market-makers.	Options Market Making Options Trading Operations Compliance Risk Technology
8 8/10/18	Cboe	SR-Cboe-2018-058 Proposed Rule Change Adopts QCC with Stock Order Functionality	Cboe proposes rule change to offer QCC with Stock Order functionality to TPHs.	Options Trading Operations Risk Technology
9 8/14/18	Cboe	SR-Cboe-2018-059 Proposed Rule Change Delaying the Implementation Date of SR-CBOE-2018-008	Cboe proposes to delay until August 21, 2018, its rule change to permit all FLEX series to be fungible with the correspondent non-FLEX series once an identical non-FLEX series is listed.	Options Trading Operations Technology
10 8/14/18	Cboe	Cboe Regulatory Circular 18-027 FLEX Conversion – Impact on Position and Exercise Limits	Cboe issues notice detailing the impact of its rule change on the position and exercise limits on FLEX options.	Options Trading Operations Compliance Risk Technology

For additional information, please contact Jane Young at 720-651-8010 or janeyoung@verusconsulting.net.

Recently Published Regulatory Notices

August 1 - 15 of 2018



Prepared by Jane Young

999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Experience You Can Trust

Date	SRO	Title	Description	Important To
11 8/1/18	DTC	DTC Important Notice 9179-18 Code Deployment to Address Corporate Actions Web (CA Web) Printing Issues	DTC announces it will install code to resolve printing issues on its CA Web platform at the close of business August 2, 2018.	Operations Corporate Actions Technology
12 8/9/18	DTC	SR-DTC-2018-007 The Proposal Would Streamline the Process for Reducing Payment to a Participant of a Dividend or Interest with Respect to an Equity or Debt Security When Such Participant Held or Record Date Treasury Shares or Repurchased Debt Securities of the Issuer	DTC proposes to provide functionality to allow a Participant that hold Treasury Shares or Repurchased Debt Securities on the record date would use the CA Web to reduce its entitlement to the distribution by the amount attributed to such securities.	Operations Dividends/Interest Technology
13 8/10/18	DTC	DTC Important Notice 9180-18 Changes to DTC Calculations Affecting Your Collateral Monitor	DTC announces to Common Members of a minor processing change to the valuation of securities delivered to CNS as short covers that may affect a Members Collateral Monitor.	Risk Operations Clearance & Settlement Technology
14 8/14/18	DTC	DTC Important Notice 9258-18 DTC Will Convert its ISO20022 Corporate Action Messaging to the SWIFT SR2018 Version on November 18, 2018	DTC announces details and schedule of its annual maintenance to its ISO20022 Corporate Action Messaging conversion to SWIFT SR2018 version scheduled for November 18, 2018.	Operations Corporate Action Technology

For additional information, please contact Jane Young at 720-651-8010 or janeyoung@verusconsulting.net.

Recently Published Regulatory Notices

August 1 - 15 of 2018



Prepared by Jane Young

999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Experience You Can Trust

Date	SRO	Title	Description	Important To
15 8/6/18	DTCC	DTCC Important Notice Z0169 Changes to CNS Equity Master File	DTCC announces effective October 15, 2018, the Floor Clearing Number, Specialist Number, Post Number and Panel ID fields on the CNS Equity Master file will be no longer be supported and replaced by filler.	Operations Clearance & Settlement Technology
16 8/3/18	FICC	SR-FICC-2018-007 Correct Certain References, Provide Transparency to Existing Processes and Amend Existing Practices in Connection with the Mortgage-Backed Securities Division Electronic Pool Notification Rules	FICC proposes several changes to its rule related to its practices on Electronic Pool Notification.	Mortgage-Backed Trading Operations Clearance & Settlement Technology
17 8/6/18	FICC	SR-FICC-2018-008 Apply Government Securities Division Corporation Default Rule to Sponsored Members and Make Other Changes	FICC file rule change to amend its Rule 3A which among other things, would apply its Rule 22B (Corporation Default) to Sponsored Members.	Risk Management Compliance Legal

Recently Published Regulatory Notices

August 1 - 15 of 2018



Prepared by Jane Young

999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Experience You Can Trust

Date	SRO	Title	Description	Important To
18 8/8/18	FinCEN	FinCEN Notice FIN-2018-R003 Extension of Limited Exception from Beneficial Ownership Requirements for Legal Entity Customers of Certain Financial Products and Services with Rollovers and Renewals	FinCEN extends the limited exception, up to and including September 8, 2018, from the obligations of its Beneficial Ownership rule for rollover or renewal of certain products and services (i.e. CDs or loans) established prior to May 11, 2018 to allow for further consideration.	Compliance Legal Technology Operations
19 8/2/18	FINRA	SR-FINRA-2018-027 Proposed Rule Change to Amend FINRA Rule 9000 Series (Code of Procedure) to Reflect an Internal Reorganization of FINRA's Enforcement Operations	FINRA files rule changes to reflect its recent internal actions to create a single Department of Enforcement.	Compliance Legal
20 8/9/18	FINRA	FINRA Industry Snapshot	FINRA publishes a report entitled "Industry Snapshot."	Senior Management Compliance Legal
21 8/10/18	FINRA	FINRA Regulatory Notice 18-24 Update to Security Futures Risk Disclosure Statement and Supplement	FINRA releases an updated Security Futures Risk Disclosure Statement and Supplement effective on September 5, 2018.	Legal Compliance
22 8/10/18	FINRA	SR-FINRA-2018-029 Proposed Rule Change to Amend FINRA Rule 7620A Relating to Fees Applicable to the FINRA/Nasdaq Trade Reporting Facilities	FINRA proposes several changes to its fees related to the FINRA/Nasdaq Trade Reporting Facilities.	Equity Trading Operations Fees Technology

For additional information, please contact Jane Young at 720-651-8010 or janeyoung@verusconsulting.net.

Recently Published Regulatory Notices

August 1 - 15 of 2018



Prepared by Jane Young

999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733

www.verusconsulting.net
info@verusconsulting.net

Experience You Can Trust

Date	SRO	Title	Description	Important To
23 8/13/18	FINRA	FINRA Election Notice FINRA Announces Nomination Process to Fill Upcoming Small Firm Vacancy on the National Adjudicatory Council	FINRA announces the nomination process to fill one Small Firm vacancy on the National Adjudicatory Council.	Legal Compliance
24 8/13/18	FINRA	FINRA Regulatory Notice 18-25 FINRA Reminds Alternative Trading Systems of Their Obligations to Supervise Activity on Their Platforms	FINRA issues reminder to ATs of their obligations to supervise trading activity on their platforms.	Compliance Legal Equity Trading Bond Trading
25 8/15/18	FINRA	FINRA Disciplinary Actions Report	FINRA issues its monthly report of disciplinary actions.	Compliance Legal
26 8/15/18	FINRA	SR-FINRA-2018-030 Proposed Rule Change to Amend FINRA Rule 7730 (Trade Reporting and Compliance Engine (TRACE)) to Remove Computer-to-Computer Interface ("CTCI") as a Technological Option for TRACE Reporting	FINRA proposes to eliminate CTCI as a technology platform for reporting transactions to TRACE	TRACE Reporting Fixed Income Trading Operations Technology

Recently Published Regulatory Notices

August 1 - 15 of 2018



Prepared by Jane Young

999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Experience You Can Trust

Date	SRO	Title	Description	Important To
27 8/15/18	FINRA	SR-FINRA-2018-031 Proposed Rule Change to Amend FINRA Rule 1220(a)(4) (Financial and Operations Principal and Introducing Broker-Dealer Financial and Operations Principal)	FINRA proposes amendments to its Financial Operations Principal and Introducing Broker-Dealer Financial and Operations Principal rules.	Operations Compliance Registration
28 8/14/18	MSRB	MSRB Regulatory Notice 2018-17 Compliance Advisory for Brokers, Dealers and Municipal Securities Dealers	MSRB issues a compliance advisory for the municipal securities industry.	Public Finance Muni Bond Trading Compliance Legal Operations
29 8/14/18	MSRB	MSRB Regulatory Notice 2018-18 Compliance Advisory for Municipal	MSRB issues a compliance advisory for the municipal advisory industry.	Public Finance Muni Advisory Compliance Legal
30 8/14/18	MSRB	MSRB Regulatory Notice 2018-19 Request for Comment on Draft Frequently Asked Questions Regarding Use of Social Media under MSRB Advertising Rules	MSRB seeks comments on a draft set of FAQs regarding the use of social media by municipal dealers and municipal advisors.	Public Finance Muni Bond Trading Muni Advisory Advertising Compliance Legal
31 8/7/18	Nasdaq	Nasdaq Options Regulatory Alert 2018-23 ISE, GEMX and MRX Disciplinary Rules - Public Notification of Rule Changes	Nasdaq files proposal to adopt investigatory and disciplinary processes identical in all material respects to those of Nasdaq and Nasdaq BX.	Options Trading Compliance Legal

For additional information, please contact Jane Young at 720-651-8010 or janeyoung@verusconsulting.net.



Recently Published Regulatory Notices

August 1 - 15 of 2018



999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Prepared by Jane Young

Experience You Can Trust

Date	SRO	Title	Description	Important To
32 8/7/18	Nasdaq	SR-Nasdaq-2018-65 Proposal to Amend and Reorganize the Exchange Membership, Registration and Qualification Rules	Nasdaq files proposal to amend and reorganize its membership, registration and qualification rules.	Compliance Registration Legal
33 8/14/18	Nasdaq	Nasdaq Data Technical News 2018-9 REMINDER: Nasdaq to Update NFN Daily List NFN Symbol Directory and Expand NFN Data Service Instrument Code	As part of its rebranding of the MFQS to NFN Daily List and NFN Symbol Director, Nasdaq announces changes to the data and formats.	Mutual Funds Operations Security Master Technology
34 8/14/18	Nasdaq	Nasdaq UTP Vendor Alert 2018-11 Sub Market Center ID Values Updated	FINRA and Nasdaq are establishing a second TRF to permit members to report trades in exchange-listed securities executed OTC and will activate the new sub market id "B" on September 10, 2018.	Equity Trading Operations Compliance Technology
35 8/15/18	Nasdaq	SR-Nasdaq-2018-068 Proposed Rule Change to Extend the Cutoff Times for Accepting On Close Orders Entered for Participation in the Nasdaq Closing Cross	Nasdaq proposes to change its Closing Cross Cutoff to 3:55 PM ET and the Late Cutoff to 3:58 PM ET.	Equity Trading Operations Technology



For additional information, please contact Jane Young at 720-651-8010 or janeyoung@verusconsulting.net.

Recently Published Regulatory Notices

August 1 - 15 of 2018



999 Vanderbilt Beach Rd
Suite 200
Naples, FL 34108
708-448-9733
www.verusconsulting.net
info@verusconsulting.net

Prepared by Jane Young

Experience You Can Trust

Date	SRO	Title	Description	Important To
36 8/15/18	Nasdaq	Nasdaq Data Technical News 2018-19 Nasdaq Announces Additional Fields to the NFN Daily List, Symbol Directory, and Vendor Reports	Nasdaq will add new fields to the NFN Daily List and NFN Symbol Directory on November 5, 2018.	Mutual Funds Operations Technology
37 8/8/18	NSCC	NSCC Important Notice 8547 Reminder: Consolidated Trade Summary (CTS) Rewrite SMART/Search Print Image Closure	NSCC reminds participants that it will retire the Consolidated Trade Summary rewrite SMART/Search report effective August 30, 2018.	Operations Clearance & Settlement Technology
38 8/13/18	NYSE	NYSE Info Memo 18-04 Member Obligations Regarding Credit Limits Under the Market Access Rule	NYSE issues reminder to its members of their obligations under the Market Access rule.	Equity Trading Risk Compliance Technology
39 8/8/18	OCC	OCC Info Memo #43494 CGM File Enhancements Go Live	OCC announces the CGM file enhancements will be implemented on August 20, 2018.	Futures Operations Technology
40 8/10/18	PCAOB	PCAOB News Release PCAOB Seeks Public Comment on its Draft Five-Year Strategic Plan	PCAOB releases a draft of its five-year strategic plan and invited public comment on the plan.	Internal Audit Technology