

# Recently Published Regulatory Notices

August 16 – September 15 of 2018



Prepared by Jane Young

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Date	SRO	Title	Description	Important To
1 9/5/18	CAT	<a href="#">CAT Industry Member Technical Specification v0.6</a>	CAT issues Industry Member Technical Specifications for reporting to the Consolidated Audit Trail.	CAT Operations Compliance Equity Trading Options Trading Technology
2 9/5/18	CAT	<a href="#">CAT Alert 2018-001 Industry Feedback Requested - Draft Industry Member Technical Specification V 0.6</a>	CAT issues notice of publication of new Industry Member Technical Specifications and requests feedback by October 1, 2018.	CAT Operations Compliance Equity Trading Options Trading Technology
3 9/5/18	CAT	<a href="#">OATS to CAT Event Mapping</a>	CAT publishes document mapping OATS event reporting to CAT event reporting.	CAT Operations Compliance Equity Trading Options Trading Technology
4 9/12/18	CAT	<a href="#">Consolidated Audit Trail Frequently Asked Questions for Industry Members</a>	CAT updates the list of FAQs for Industry Members.	CAT Equity Trading Options Trading Operations Compliance Technology

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5 8/16/18	Cboe	<a href="#">SR-Cboe-2018-060 Proposed Rule Change to Amend Rule 6.49A</a>	Cboe proposes amendments to its Rule 6.49A to delete provisions related to on-floor position transfers, amend permissible reasons for and procedures related to off-floor position transfers as well as other non-substantive changes.	Options Trading Operations Compliance Technology
6 8/24/18	Cboe	<a href="#">Cboe Regulatory Circular 18-028 Solicited Transactions</a>	Cboe issues a summary of its Rule 6.9 Solicited Transactions to serve as a quick reference guide	Options Trading Operations Compliance
7 8/24/18	Cboe	<a href="#">SR-Cboe-2018-062 Proposal to Amend Rule 6.2.</a>	Cboe files rule change to amend and clarify the definition of a strategy order, clarify other definitions related to modified HOSS procedures and permit the entry of orders that offset imbalances after the strategy order cut-off time.	Options Trading Operations Compliance Technology Risk
8 9/5/18	Cboe	<a href="#">Cboe Regulatory Circular 18-029 Qualified Contingent Cross Reporting to the Regulatory Division</a>	Cboe issues update to its procedures related to reporting of qualified contingent cross transactions to its Regulatory Division. See notice for details.	Options Trading Regulatory Reporting Operations Compliance Technology

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9 9/7/18	Cboe	<a href="#">SR-CBOE-2018-064 Proposal to Amend its Rules Relating to Categories of Registration and Respective Qualification Examinations Required for Trading Permit Holders and Associated Persons</a>	Cboe proposes an amendment to its rules related to categories of registration and qualification examinations required for TPHs and associated persons who engage in trading on the exchange.	Options Trading Compliance Registration Legal
10 9/11/18	Cboe	<a href="#">Cboe Regulatory Circular 18-031 Enhancements under Consideration for the Securities Industry Continuing Education Program</a>	Cboe issues notice of request for comment on a CE Council Concept Release that explores options to enhance the current industry education program.	Compliance Continuing Education
11 8/16/18	DTC	<a href="#">DTC Important Notice 9361-18 Destruction of Non-Transferable Securities Certificates 135th Cycle</a>	DTC releases list of non-transferable securities scheduled for destruction on or after November 16, 2018.	Operations Stock Record Compliance Legal
12 8/17/18	DTC	<a href="#">DTC Important Notice 9362-18 Reversal of Memo Seg Changes to PTOP / Voluntary Tenders and Exchanges</a>	DTC announces it will reverse a previously implemented change to a Memo Seg indicator on PTS PTOP/PBS Voluntary Tenders and effective August 17, 2018.	Operations Cashiering Technology

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13 8/28/18	DTC	<a href="#">DTC Important Notice 9429-18 Approval and Implementation of Rule Filing SR-DTC-2018-006 Regarding Rule 35</a>	DTC announces effective August 28, 2018, it will permit a Participant or Pledgee to designate one or more collateral management service providers, acting on their behalf, to receive reports and information from, and provide certain instructions to DTC regarding specified accounts of the Participant or Pledgee.	Operations Cashiering Risk Technology
14 8/29/18	DTC	<a href="#">DTC Important Notice 9431-18 Approval and Implementation of Filings SR-DTC-2017-021 and SR-DTC-2017-803 DTC Recovery and Wind-down Plan and Related Rules</a>	DTC announces SEC approval of its rule change related to Recovery and Wind-Down Plans as well as Market Disruption and Force Majeure, which are effective on August 28, 2018.	Operations Risk Compliance Technology Business Continuity
15 8/29/18	DTC	<a href="#">DTC Important Notice 9430-18 Approval and Implementation of Enhancements to the Loss Allocation (SR-DTC-2017-022 and SR-DTC-2017-804)</a>	DTC receives SEC approval of rule filings that enhance the loss allocation rules as well as other amendments and clarifications effective August 30, 2018.	Operations Risk Compliance Technology Business Continuity
16 9/5/18	DTC	<a href="#">DTC Important Notice 9456 DTC Will Delete and Re-Announce Certain Conversion and Warrants Exercise Events on September 8, 2018</a>	DTC announces it will delete Conversion and Warrants Exercise events and re-announce them on September 8, 2018. See notice for details.	Operations Corporate Actions Technology

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17 9/7/18	DTC	<a href="#"><u>DTC Important Notice 9463-18 DTC Will Convert its ISO20022 Corporate Action Messaging to the SWIFT SR2018 Version on November 18, 2018 - Updated</u></a>	DTC issues update related to the annual ISO standard maintenance process with testing beginning on September 17, 2018 and concluding on November 2, 2018.	Operations Corporate Actions Technology
18 9/7/18	DTC	<a href="#"><u>DTC Important Notice 9459-18 New DTC Business Continuity File</u></a>	DTC announces effective November 5, 2018, it will make available to participants a file containing information that would allow the participant to reconcile transactions in the case of an outage at DTC.	Business Continuity Operations Clearance & Settlement Technology
19 9/7/18	DTC	<a href="#"><u>DTC Important Notice 9460-18 Deletion and Re-Announcement of Certain Conversion and Warrants Exercise Events Rescheduled to September 22, 2018</u></a>	DTC reschedules the delete and re-announce of certain Conversion and Warrants Exercise events to September 22, 2018.	Operations Corporate Actions Technology
20 9/10/18	DTC	<a href="#"><u>DTC Important Notice 9464-18 Destruction of Non-Transferable Securities Certificates - 136th Cycle</u></a>	DTC publishes list of non-transferrable securities scheduled for destruction on or after December 16, 2018.	Operations Stock Record Legal
21 9/11/18	DTC	<a href="#"><u>DTC Important Notice 9466-18 Position Adjustment Tool Available In Production Beginning on September 28, 2018</u></a>	DTC announces the availability, starting September 28, 2018, of a Position Adjustment Tool to its CA Web to allow participants to self-serve their firm's positions adjustments.	Operations Corporate Actions Technology

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22 9/14/18	DTC	<a href="#">DTC Important Notice 8582-18 DTC Will Delete and Re-Announce Certain Conversion and Warrants Exercise Events on September 22, 2018</a>	DTC issues reminder and clarification on the actions it will take on September 22, 2018 related to the deletion and re-announcement of certain conversion and warrants exercise events.	Operations Corporate Actions Technology
23 8/28/18	FICC	<a href="#">FICC Important Notice CMU005-18 Deployment Date for Corporate Bond, Municipal Bond, UIT Real Time Trade Matching System (CMU RTTM) Web Rewrite</a>	FICC advises participant of a September 24, 2018 for installation of its CMU RTTM Web Rewrite.	Fixed Income Trading Operations Clearance & Settlement Technology
24 9/5/18	FICC	<a href="#">FICC Important Notice MBS611-18 FINAL REMINDER: MBSD Operational Novation – Decommission of Obsolete Reports</a>	FICC issues reminder to participants that it will decommission certain MBS Clearing Reports that are obsolete with the implementation of Operational Novation and the elimination of Notification of Settlement.	Mortgage Back Trading Operations Clearance & Settlement Technology
25 9/10/18	FICC	<a href="#">FICC Important Notice MBS615-18 Approval of Rule Filing SR-FICC-2018-005 – Corrections to Certain References and Transparency of Existing Processes in the EPN Rules</a>	FICC announces SEC approval of its Mortgage-Backed Securities Division EPN rules that made corrections and provided transparency to its existing processes.	Mortgage Backed Trading Fixed Income Trading Operations Clearance & Settlement Technology

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26 9/7/18	FinCEN	<a href="#"><u>FinCEN Exemptive Relief from Beneficial Ownership Requirements for Legal Entity Customers of Rollovers, Renewals, Modifications, and Extensions of Certain Accounts</u></a>	FinCEN grants exemptive relief from its Beneficiary Rule under certain circumstances. See notice for details.	Compliance Operations New Accounts Technology
27 8/29/18	FINRA	<a href="#"><u>FINRA Election Notice Call for Candidates for Upcoming Election to Fill FINRA Regional Committee Vacancies</u></a>	FINRA seeks candidates for its Regional Committee vacancies.	Compliance Legal
28 8/29/18	FINRA	<a href="#"><u>FINRA Election Notice Call for Candidates in the Upcoming FINRA Small Firm Advisory Committee Election</u></a>	FINRA seeks candidates for its Small Firm Advisory Committee vacancies.	Compliance Legal
29 8/31/18	FINRA	<a href="#"><u>SR-FINRA-2018-034 Immediate Effectiveness of a Proposed Rule Change to Amend Rule 2360 (Options) to Increase Position Limits on Options on Certain Exchange-Traded Funds</u></a>	FINRA advises members of a rule change, with immediate effectiveness, amending its Rule 2360 increasing the position limit for conventional options on certain exchange-traded funds.	ETFs Operations Compliance Risk Technology

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30 9/6/18	FINRA	<a href="#">FINRA Regulatory Notice 18-26 FINRA Requests Comment on Enhancements Under Consideration by the Securities Industry/Regulatory Council on Continuing Education</a>	FINRA issues request for comment from member firms and other interested parties on enhancements to the Securities Industry Continuing Education Program (CE Program) under consideration by the Securities Industry/Regulatory Council on Continuing Education (CE Council).	Compliance Continuing Education Training
31 9/11/18	FINRA	<a href="#">FINRA Regulatory Notice 18-28 FINRA Requests Comment on a Proposal to Expand OTC Equity Trading Volume Data Published on FINRA's Website</a>	FINRA issues request for comment on several changes to the expansion of OTC equity trading volume data it publishes on its website.	Equity Trading Compliance Technology
32 9/12/18	FINRA	<a href="#">FINRA Regulatory Notice 18-29 FINRA Reminds Firms of Their Obligations When Effecting OTC Trades in Equity Securities on a Net Basis</a>	FINRA issues reminder to firms of their obligations under FINRA trade reporting rules and SEC Rules when effecting OTC trades in equity securities on a "net" basis.	Equity Trading Compliance Legal
33 9/13/18	FINRA	<a href="#">FINRA Regulatory Notice 18-30 Enhancements to the REX System and Updates to Data and Other Requirements Applicable to Requests for Extensions of Time Under Regulation T and SEA Rule 15c3-3</a>	FINRA announces an update to its REX System and effective February 25, 2019, will no longer require a full social security number to be applied to an extension request.	Operations Margin Reg T Processing Compliance Technology

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34 9/14/18	FINRA	<a href="#">FINRA Regulatory Notice 18-31 SEC Staff Issues Guidance on Third-Party Recordkeeping Services</a>	FINRA issues notice of recent SEC guidance regarding the use of third-party recordkeeping services to preserve records as required by SEC 17(a)-4.	Senior Management Operations Compliance Legal Technology
35 8/28/18	MSRB	<a href="#">MSRB Regulatory Notice 2018-20 Request for Information on the Accessibility, Methodology and Utility of Indices, Yield Curves and Other Benchmarks</a>	MSRB issues request for information from industry participants and the public, by November 27, 2018, on the accessibility, methodology and utility of indices, yield curves and other benchmarks currently available in the municipal market.	Public Finance Muni Bond Trading Compliance Legal
36 9/7/18	MSRB	<a href="#">MSRB Regulatory Notice 18-22 Request for Comment on Draft Interpretive Guidance on Pennying and Draft Amendments to Existing Guidance on Best Execution</a>	MSRB issues request for comment on draft interpretive guidance related to “pennying” and draft amendments to existing guidance on best execution related to the posting of bid-wanted on multiple trading platforms.	Public Finance Muni Bond Trading Compliance Operations Technology
37 9/11/18	MSRB	<a href="#">MSRB Regulatory Notice 2018-23 MSRB Expands Advisory Groups and Seeks Volunteers</a>	MSRB seeks volunteers to participate in its Advisory Groups.	Public Finance Muni Bond Trading Compliance Legal
38 8/16/18	Nasdaq	<a href="#">Nasdaq Options Technical Alert 2018-15 NOM Introduces a New Order Entry Protocol</a>	Nasdaq will introduce a new order entry protocol on its options exchanges effective November 19, 2018.	Options Trading Operations Technology

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39 8/22/18	Nasdaq	<a href="#">Nasdaq Equity Trader Alert 2018-61 REVISED: Nasdaq to Update the Closing Cross Cutoff Times and NOII Dissemination Frequency</a>	Nasdaq, on October 29, 2018, will extend the cutoff times for its Closing Auction Process for MOC and LOC orders to 3:55 PM ET and 3:58 PM ET, respectively.	Equity Trading Operations Technology
40 8/30/18	Nasdaq	<a href="#">Nasdaq Equity Trader Alert 2018-64 FINRA/Nasdaq TRF to Expand Carryover of Match/Compare Trade Reports and Application of Reversal Logic for Match/Compare Trade Reports</a>	Nasdaq announces the expansion of the type of trade reports to be carried over to the next day, are eligible to be broken, and will apply logic pertaining to the submission of Breaks and Reversals effective on December 3, 2018.	Equity Trading Operations Technology
41 9/4/18	Nasdaq	<a href="#">Nasdaq Options Trader Alert 2018-37 Nasdaq Introduces an Open Orders Combo Report</a>	Nasdaq introduces the availability of a new Open Orders Combo report to provide members a daily file of all open GTC simple and complex orders.	Options Trading Operations Technology
42 9/6/18	Nasdaq	<a href="#">Nasdaq Data Technical News 2018-21 UPDATED: Nasdaq Announces Availability of FINRA/Nasdaq TRF Chicago Trade Data on Nasdaq Last Sale and NLS Plus</a>	Nasdaq announces its FINRA/Nasdaq TRF Chicago will production launch for a specific set of test securities on September 10, 2018 and for all NMS stocks on September 24, 2018.	Equity Trading Operations Compliance Technology
43 9/11/18	Nasdaq	<a href="#">Nasdaq Equity Trader Alert 2018-77 Tick Pilot Quoting and Trading Requirements to End September 28, 2018</a>	Nasdaq issues notice of upcoming changes to the SEC's Tick Pilot program.	Equity Trading Compliance Operations Technology

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44	9/11/18	Nasdaq	<a href="#">SR-Nasdaq-2018-075 Proposed Rule Change to Amend Rules 7039, 7047, 7049, 7055, and 7061 to Update the Definition of the Term FINRA/Nasdaq Trade Reporting Facility</a>	Nasdaq files proposal to update the definition of “FINRA/Nasdaq Trade Reporting Facility” in light of the opening of a second FINRA/Nasdaq TRF in Chicago.	Equity Trading Operations Compliance Technology
45	9/12/18	Nasdaq	<a href="#">Nasdaq Data Technical Alert 2018-19 UPDATE: Nasdaq Announces Additional Fields to the NFN Daily List, Symbol Directory, and Vendor Reports</a>	Nasdaq announces effective Monday, November 5, 2018, it will add new fields to its NFN Daily List and NFN Symbol Directory.	Mutual Funds Operations Security Master Technology
46	9/13/18	Nasdaq	<a href="#">Nasdaq Equity Regulatory Alert 2018-5 Reminder: Nasdaq Announces Regulation SCI BC/DR Test Details</a>	Nasdaq issues reminder to members of the upcoming Reg SCI BC/DR test scheduled for October 13, 2018.	Business Continuity Disaster Recovery Operations Equity Trading Technology Compliance
47	8/23/18	NSCC	<a href="#">NSCC Important Notice 8599 ACATS Modernization / Shortened Cycle Initiative Scope and Schedule Change</a>	NSCC advises participants of a change in scope of its ACATS Modernization / Shortened Cycle Initiative as well as the implementation schedule.	Operations ACATS Technology Technology
48	8/23/18	NSCC	<a href="#">NSCC Important Notice 8600 DTC/NSCC/Industry Initiative – Rollout Schedule</a>	NSCC releases testing and production dates for several industry initiatives.	Operations Technology

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49 8/24/18	NSCC	<a href="#">NSCC Important Notice 8601 ACATS-Fund/SERV Transfer Record Modifications – Schedule Chang</a>	NSCC issues notice of revision of its target dates for ACATS enhancements: PSE Test is Q3/4 2019 and Production is Q1 2020.	Operations ACATS Technology
50 8/16/18	OCC	<a href="#">OCC Info Memo #43532 Letter of Credit Expiration</a>	OCC issues instructions related to the expiration of Letters of Credit on August 31, 2018.	Operations Cashiering Risk Technology
51 8/27/18	OCC	<a href="#">OCC Info Memo #43576 Stock Loan Clearing Guarantee</a>	OCC issues memorandum that summarizes the clearing guarantee for each of its stock loan programs.	Operations Stock Loan Risk Technology
52 8/28/18	OCC	<a href="#">OCC Info Memo # 43581 Clearing Fund Implementation on September 4, 2018</a>	OCC announces the recently SEC approved changes to its Clearing Fund methodology will become effective September 4, 2018.	Operations Cashiering Risk Technology
53 9/5/18	OCC	<a href="#">OCC Info Memo #43606 Clearing Fund Contribution</a>	OCC announces it determined a need to update underlying data used for member’s Clearing Fund allocations that may have resulted in changes to the member’s Clearing Fund requirements.	Operations Cashiering Risk

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54 8/17/18	SEC	<a href="#">SEC Final Rule Release 33-10532 Disclosure Update and Simplification</a>	SEC adopts amendments under the '33 Act to certain of its disclosure requirements that have become redundant, duplicative, overlapping, outdated or superseded in light of other disclosure requirements, GAAPs, or changes in the information environment.	Accounting Audit Compliance Legal Technology
55 8/20/18	SEC	<a href="#">SEC Final Rule Release #34-83885 Amendments to Municipal Securities Disclosure</a>	SEC adopts amendments to the Municipal Securities Disclosure Rule under the '34 Act to add transparency to the market by increasing the amount of information publicly disclosed about material financial obligations incurred by issuers and obligated persons.	Public Finance Compliance Legal Technology
56 8/24/18	SEC	<a href="#">SEC Fee Rate Advisory #1 for Fiscal Year 2019</a>	SEC issues a Fee Rate Advisory for fiscal year 2019 announcing that fees paid by public companies and other issuers to register their securities with the SEC will be set at \$121.20 per million dollars.	Compliance Legal
57 9/5/18	SEC	<a href="#">SEC No Action Letter Request for Exemption from Rule 10b-10</a>	SEC issues No Action Letter exempting orphaned fractional share transactions from its Confirmation Rule 10b-10.	Compliance Operations Technology

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58 9/4/18	SEC et al	<a href="#"><u>SEC Proposed Rule Release BHCA-4 Proposed Revisions to Prohibitions and Restrictions on Proprietary Trading and Certain Interests in, and Relationships With, Hedge Funds and Private Equity Funds</u></a>	SEC and four other financial regulatory agencies have extended until October 17, 2018, the comment period for a proposed rule to simplify and tailor compliance requirements for the “Volker Rule.”	Proprietary Trading Compliance Legal Technology