

Recently Published Regulatory Notices

September 16-30, 2018



Prepared by Jane Young

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Date	SRO	Title	Description	Important To
1 9/19/18	Cboe	Cboe Options Regulatory Circular 18-032 Securities Industry Essentials Examination	Cboe advises member that effective October 1, 2018, new applicants seeking to register in a representative capacity must pass the Securities Industry Essentials examination prior to their registration becoming effective.	Compliance Registration Continuing Education
2 9/24/18	DTC	DTC Important Notice 9744-18 Corporate Actions Identifiers for Re-Announced Conversion and Warrants Exercise Events	DTC publishes spreadsheet reflecting the new CA ID assigned to the re-announced events on September 22, 2018.	Operations Corporate Actions Technology
3 9/26/18	FICC	FICC Important Notice GOV486-18 GSD Capped Contingency Liquidity Facility ("CCLF") Test	FICC issues details of its mandatory (for netting members) CCLF test scheduled for November 15, 2018.	Fixed Income Trading Operations Technology
4 9/27/18	FICC	FICC Important Notice GOV488-18 Capped Contingency Liquidity Facility ("CCLF") - Officers' Certificate - Due on November 1, 2018	FICC issues reminder that the fully executed CCLF Officers' Certificates are due November 1, 2018.	Compliance Legal
5 9/21/18	FinCEN	FinCEN Advisory FIN-2018-A004 Advisory on the FATF-Identified Jurisdictions with AML/CFT Deficiencies	FinCEN publishes updated list of jurisdictions with strategic anti-money laundering and combatting financing of terrorism deficiencies, which may affect financial organization's obligation, and risk based programs.	Anti-Money Laundering Compliance Legal Technology

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

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6 9/19/18	FINRA	FINRA Information Notice Presentation Changes and New Functionality in the Central Registration Depository (CRD®) System	FINRA announces enhancements and presentation changes to the CRD system related to the implementation of its restructured qualification examination program effective October 1, 2018.	Compliance Registration Technology
7 9/24/18	FINRA	FINRA Regulatory Notice 18-32 FINRA Reminds Firms of Their Obligations Regarding Transactions in OTC Equity Securities Quoted Pursuant to a Submitted Form 211	Together with the SEC, FINRA reminds members of the legal obligation that apply when initiating a quote in an OTC security in addition to the filing of Form 211.	Equity Trading Compliance
8 9/27/18	FINRA	SR-FINRA-2018-036 Proposed Rule Change Relating to Test Results Information on the Content Outlines of FINRA Qualification Examinations	FINRA proposes rule change that contains certain revisions related to test results information on the content outlines of certain FINRA representative- and principal-level qualification examination.	Continuing Education Registration Compliance
9 9/17/18	MSRB	MSRB Regulatory Notice 2018-25 Request for Comment on Application of Content Standards to Advertisements by Municipal Advisors under MSRB Rule G-40	MSRB requests comment on a draft compliance resource regarding the application of the content standards under its Rule G-40 on advertising by municipal advisors.	Municipal Advisory Advertising Compliance Legal

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10 9/19/18	MSRB	MSRB Regulatory Notice 2018-26 MSRB Proposes a Municipal Advisor	MSRB issues notice of its intent to establish professional qualification requirements for municipal advisor principals.	Municipal Advisory Compliance Legal Registration
11 9/19/18	MSRB	SR-MSRB-2018-07 Proposed Rule Change to Amend MSRB Rule G-3, on Professional Qualification Requirements, to Require Municipal Advisor Principals to Become Appropriately Qualified by Passing the Municipal Advisor Principal Qualification Examination	MSRB proposes to establish professional qualification requirements for municipal advisor principals.	Municipal Advisory Compliance Legal Registration
12 9/17/19	MSRB	MSRB Regulatory Notice 2018-24 MSRB Answers FAQs Regarding Use of Municipal Advisory Client Lists and Case Studies under MSRB Rule G-40	In response to industry feedback, MSRB issues revised draft FAQs related to compliance with Rule G-40.	Municipal Advisory Compliance Legal Technology
13 9/20/18	Nasdaq	Nasdaq Equity Trader Alert 2018-78 Nasdaq BX Enhances Minimum Quantity Functionality	Nasdaq announces a new optional feature for MAQ to allow participants to configure their MPID to only allow MAQ orders to execute when one contra-side order is equal to or greater than the minimum quantity designation on the order.	Equity Trading Operations Compliance Technology

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14 9/25/18	Nasdaq	Nasdaq Options Technical Alert 2018-15 NOM Introduces a New Order Entry Protocol	Nasdaq announces the delay of the implementation of OTTO 2.1.4 into its NTF until Monday October 1, 2018.	Options Trading Operations Compliance Technology
15 9/28/18	Nasdaq	Nasdaq Equity Trader Alert 2018-79 FINRA/Nasdaq TRF Short Sale Reporting Transition Ends on October 12, 2018	Nasdaq announces beginning October 15, 2018, it will enforce the system requirement that the seller has sole responsibility to ensure that a short sale indicator is correctly reported to the TRF on a match-eligible trade.	Equity Trading Operations Compliance Technology
16 9/19/18	NSCC	SR-NSCC-2018-007 Clarify the Rules that Describe the Buy-In Process	NSCC proposes changes to its Buy-In processes.	Operations Clearance & Settlement Technology Compliance Legal
17 9/19/18	NSCC	SR-NSCC-2018-006 Clarify and Update Certain Sections of the Rules	NSCC proposes changes to its rules related to CNS processing.	Operations Clearance & Settlement Technology Compliance Legal

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18 9/20/18	SEC	<u>SEC Proposed Rule Release 34-84225 Amendment to Single Issuer Exemption for Broker-Dealers</u>	SEC proposes amendment to the exemption provisions in the broker-dealer annual reporting rule under the '34 Act in cases where the securities business of the broker-dealer is limited to acting as broker for a single issuer in soliciting subscription for securities of that issuer.	Regulatory Reporting Compliance Legal Audit

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