

# Recently Published Regulatory Notices



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## February 1-15, 2018

Prepared by Jane Young

*Experience You Can Trust*

Date	SRO	Title	Description	Important To
1 2/8/18	CAT	<a href="#">CAT Interpretive Frequently Asked Questions</a>	CAT publishes initial list of FAQs related to interpretative questions.	CAT Operations Equity Trading Compliance Technology
2 2/15/18	CAT	<a href="#">Industry Member CAT Reporting Technical Specification Publication Update</a>	CAT announces it will publish new portions of the CAT Reporting Technical Specifications for Industry Members upon review by the Operating Commission at its meeting February 20, 2018.	CAT Operations Compliance Technology
3 2/2/18	Cboe	<a href="#">SR-CBOE-2018-016 Proposed Rule Change to Amend COB Rules</a>	Cboe proposes changes to manner in which Complex Orders are to be entered into its Complex Order Book.	Options Trading Operations Technology
4 2/14/18	Cboe	<a href="#">Cboe Regulatory Circular 18-003 Filing of Annual Audits</a>	Cboe reminds members of their obligation to file annual audits.	Audit Regulatory Reporting Compliance
5 2/14/18	Cboe	<a href="#">Cboe Regulatory Circular 18-004 Anti-Money Laundering Compliance Program -</a>	Cboe issues notice to its members related to compliance with FinCEN's Customer Due Diligence rules that become effective May 11, 2018.	Anti-Money Laundering Risk Fraud Compliance Legal Operations Technology
6 2/14/18	Cboe	<a href="#">Cboe Regulatory Circular 18-005 Annual Supervision-Related Reporting Pursuant to Cboe/C2 Options Rules 4.24 and 9.8</a>	Cboe issues reminder to members of the required filings related to supervision which are due April 2, 2018.	Regulatory Reporting Compliance Legal

For additional information, please contact Jane Young at 720-651-8010 or [janeyoung@verusconsulting.net](mailto:janeyoung@verusconsulting.net).

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7 2/14/18	Cboe	<a href="#">Cboe Regulatory Circular 18-006 Reminder: 2017 Year-End Filing Due March 1, 2018</a>	Cboe issues notice to their members of their obligations related to SEC rules addressing the use of non-public material information	Compliance Legal
8 2/1/18	DTC	<a href="#">SR-DTC-2018-001 Amend the By-Laws</a>	DTC proposes rule changes related to the operations of its Board of Directors.	Operations
9 2/9/18	DTC	<a href="#">DTC Important Notice 7801-18 Business Continuity Testing</a>	DTC announces that members who are notified of the requirement to conduct connectivity testing complete such testing by October 31, 2018.	Business Continuity Operations Technology
10 2/14/18	DTC	<a href="#">DTC Important Notice 7901-18 Settlement Reclaim Enhancements</a>	DTC announces changes effective March 16, 2018 to address certain inconsistencies related to reclaim processing.	Operations Clearance & Settlement Technology
11 2/15/18	DTC	<a href="#">DTC Important Notice 7802-18 Destruction of Non-Transferable Securities Certificates 129th Cycle</a>	DTC issues list of non-transferable securities scheduled to be destroyed on or after May 16, 2018.	Operations Stock Record Compliance Legal
12 2/14/18	DTCC	<a href="#">DTCC From Where We Stand: T+2: What's Next</a>	DTCC issues white paper on its plans related to shortening the settlement cycle post T+2.	Operations Technology
13 2/1/18	FICC	<a href="#">SR-FICC-2018-002 Amend the By-Laws and Make Other Changes</a>	FICC proposes rule changes related to the operation of its Board of Directors.	Operations
14 2/9/18	FinCEN	<a href="#">FinCEN Advisory FIN-2018-A001 Advisory on the FATF-Identified Jurisdictions with AML/CFT Deficiencies</a>	FinCEN advises financial institutions that FATF has updated its list of jurisdictions with strategic anti-money laundering and combatting the financing of terrorism deficiencies.	Anti-Money Launderers Fraud Compliance Legal Technology

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15 2/15/18	FinCEN	<a href="#">FinCEN Penalizes U.S. Bank National Association for Violations of Anti-Money Laundering Laws</a>	FinCEN, the OCC and the Department of Justice announce the assessment of a \$185 million civil money penalty against U.S. Bank for willful violations of the Bank Secrecy Act.	Compliance Anti-Money Laundering
16 2/1/18	FINRA	<a href="#">FINRA Special Notice 2018 Involvement and Election Process Overview</a>	FINRA issues a Special Notice discussing its efforts related to its FINRA360 initiative and the actions it plans to take during 2018.	Senior Management Operations Compliance Audit Technology
17 2/6/18	FINRA	<a href="#">FINRA Regulatory Notice 18-05 FINRA Requests Comment on the Application of Certain Rules to Government Securities and to Other Debt Securities More Broadly Comment Period Expires: April 9, 2018</a>	FINRA is requesting comment on the idea of applying a multitude of its rules to U. S. Government debt securities as well as certain of its rules to all debit securities.	Fixed Income Trading Compliance Technology Operations
18 2/8/18	FINRA	<a href="#">FINRA Regulatory Notice 18-06 FINRA Requests Comment on Proposed Amendments to Its Membership Application Program to Incentivize Payment of Arbitration Awards Comment Period Expires: April 9, 2018</a>	FINRA issues request for comment on a proposal to its Membership Application Program rule that would prevent an individual from switching firms or other similar actions to avoid payment of arbitration awards while staying in the business.	Compliance Legal Registration

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19 2/9/18	FINRA	<a href="#">SR-FINRA-2018-004 Proposed Rule Change to Revise the Investment Banking Representative (Series 79) Examination</a>	FINRA issues notice of revision of the content outline and selection specification for the Investment Banking Representative (Series 79) examination.	Investment Banking Compliance Registration Continuing Education
20 2/9/18	FINRA	<a href="#">SR-FINRA-2018-005 Proposed Rule Change to Revise the Research Analyst (Series 86 and 87) Examinations</a>	FINRA announces revisions to the content outline and selection specifications for the Research Analyst (Series 86 and 87) examination.	Research Compliance Registration Continuing Education
21 2/9/18	FINRA	<a href="#">SR-FINRA-2018-006 Proposed Rule Change to Revise the Operations Professional (Series 99) Examination</a>	FINRA announces revisions to the content outline and selection specifications for the Operations Professional (Series 99) examination.	Operations Compliance Registration Continuing Education
22 2/12/18	FINRA	<a href="#">SR-FINRA-2018-007 Proposed Rule Change to Revise the Investment Company and Variable Contracts Products Representative (Series 6) Examination</a>	FINRA announces revisions to the content outline and selection specifications for the Investment Company and Variable Contracts Products Representative (Series 6) examination.	Annuities Compliance Registration Continuing Education
23 2/12/18	FINRA	<a href="#">SR-FINRA-2018-008 Proposed Rule Change to Revise the General Securities Representative (Series 7) Examination</a>	FINRA announces revisions to the content outline and selection specifications for the General Securities Representative (Series 7) examination.	Sales Compliance Registration Continuing Education

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Date	SRO	Title	Description	Important To
24 2/12/18	FINRA	<a href="#">SR-FINRA-2018-009 Proposed Rule Change to Revise the Direct Participation Programs Representative (Series 22) Examination</a>	FINRA announces revisions to the content outline and selection specifications for the Direct Participation Programs Representative (Series 22) examination.	Direct Participation Programs Compliance Registration Continuing Education
25 2/12/18	FINRA	<a href="#">SR-FINRA-2018-010 Proposed Rule Change to Revise the Securities Trader (Series 57) Examination</a>	FINRA announces revisions to the content outline and selection specifications for the Securities Trader (Series 57).	Trading Compliance Registration Continuing Education
26 2/12/18	FINRA	<a href="#">SR-FINRA-2018-011 Proposed Rule Change to Revise the Private Securities Offerings Representative (Series 82) Examination</a>	FINRA announces revisions to the content outline and selection specifications for the Private Securities Offerings Representative (Series 82) examination.	Private Securities Offerings Compliance Registration Continuing Education
27 2/14/18	FINRA	<a href="#">FINRA Regulatory Notice 18-07 Regulatory Extension (REX) System Update Extension of Time Requests Relating to FINRA Rule 4210</a>	FINRA announces updates to its REX system to support the upcoming changes to its Margin Rule 4210 related to extensions of time for Covered Agency Transactions beginning June 25, 2018	Operations Margin Technology
28 2/15/18	FINRA	<a href="#">Disciplinary Actions</a>	FINRA publishes its monthly report of disciplinary actions.	Compliance Legal
29 2/15/18	MSRB	<a href="#">MSRB Regulatory Notice 2018-03 Request for Input on Draft Frequently Asked Questions Regarding Rule G-42 and the Making of Recommendations</a>	MSRB seeks input from market participants and the public on a draft set of frequently asked questions related to certain aspects of MSRB Rule G-42, on duties of non-solicitor municipal advisors.	Municipal Advisory Compliance Legal

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30 2/6/18	Nasdaq	<a href="#">Nasdaq Options Technical Update 2018-5 UPDATED PHLX, NOM and MRX Update SQF and OTTO Specifications</a>	Nasdaq announces staggered implementation of changes to its PHLX, NOM and MRX SQF and OTTO specification documents.	Options Trading Operations Technology
31 2/1/18	NSCC	<a href="#">SR-NSCC-2018-001 Amend the By-Laws and Make Other Changes</a>	NSCC proposes rule changes related to the operations of its Board of Directors.	Operations
32 2/5/18	NSCC	<a href="#">NSCC Important Notice 8512 Consolidated Trade Summary (CTS) Cycle 3 and Continuous Net Settlement (CNS) One Day Settling (ODS) Exemption</a>	NSCC issues reminder to participants of the processes related to the "one day settling" exemption in CTS and CNS.	Operations Clearance and Settlement Technology
33 2/7/18	SEC	<a href="#">U.S. Securities &amp; Exchange Commission 2018 National Examination Program Exam Priorities.</a>	SEC releases it 2018 National Examination Priorities letter for 2018.	Compliance Legal Risk Senior Investing Cybersecurity Anti Money Laundering
34 2/12/18	SEC	<a href="#">Division of Enforcement Share Class Selection Disclosure Initiative</a>	SEC announces an initiative to identify and remedy potential widespread violations by Investment Advisers who fail to make required disclosure related to their selection of mutual fund share classes that paid the adviser 12b-1 fees.	Investment Advisers Compliance Legal Operations Technology



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35 2/13/18	SEC	<a href="#"><u>SEC Press Release 2018-17 SEC to Hold National Compliance Outreach Seminar for Investment Companies and Investment Advisers</u></a>	SEC announces it will host a compliance outreach program national seminar for investment companies and investment advisers on April 12, 2018.	Investment Advisory Compliance Legal