
[EVIA & LEBA Monthly Compliance Meeting](#)

0830 Wednesday 07th December 2022

Virtual Meeting via MS_Teams - [Click here to join the meeting](#)

Please do suggest ideas around the meeting usefulness, format, guests, regulators and subgroups [Reporting; KYC&AML; Monitoring]

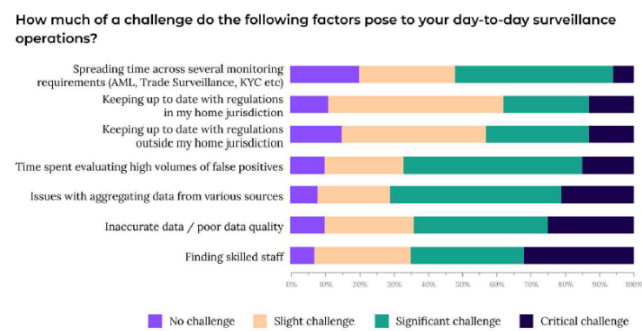
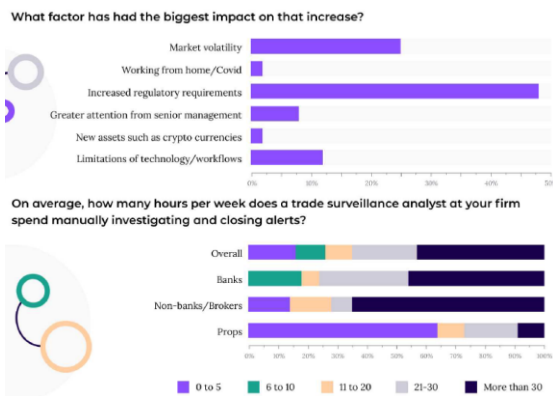
1. Matters arising

- a. Member Comments
- b. [PDF](#) [Kroll note on Sigma Broking Limited Fined by FCA for Inadequate Governance and Oversight Arrangements; 23Nov2022.pdf](#)
- c. FTX impacts if any – FCA [Information for FTX customers](#)
 - i. [PDF](#) [FTX businesses owe more than \\$3bn to largest creditors; FTX Synopsis; 20Nov2022.pdf](#)
 - ii. [PDF](#) [On FTX, Sam Bankman-Fried and Big-Tech; 12Nov2022.pdf](#)
 - iii. [PDF](#) [ESMA; Opening Statement Steffen Kern; FTX; public_statement_to_econ_sk.pdf](#)
 - iv. [PDF](#) [Notes on EU Briefing on MICA and Regulation Update; 05Dec2022.pdf](#)

2. Standing Items

- a. [Updated OTC Derivatives Compliance Calendar – Updated for November 2022](#)
- b. [PDF](#) [FCA consults on regulatory fees and levies for 2023& 2024; cp22-23.pdf](#) & [PDF](#) [EVIA Note; FCA consults on regulatory fees and levies for 2023_24; 30Nov2022.pdf](#)
- c. TPR Landing Slots & UK Overseas Regime
 - i. [PDF](#) [HMT Comments on UK FRF Plans; Andrew Griffiths; 01Dec2022.pdf](#)
 - ii. [PDF](#) [HMT_Basel_3.1_consultation_document.pdf](#)
- d. Conduct
 - i. [PDF](#) [FCA highlights continuing concerns about problem firms in the CFD sector; 02Dec2022.pdf](#)
 - ii. [PDF](#) [Rolling regulation forwards; Speech by Nikhil Rathi, FCA at the UK Finance annual dinner; 17Nov2022.pdf](#)
 - iii. [FCA COO Speech by Emily Shepperd; From Zeroes to Heroes; How culture in financial services can change for everyone's benefit; 28Nov2022.pdf](#)
 - iv. [PDF](#) [FCA; Diversity and inclusion; Driving change in our industry; Mills; 23Nov2022.pdf](#)
 - v. [Julius Baer International Final Notice \(PDF\)](#)

1. JBI breached Principles 1, 3 and 11 of the FCA's Principles for Businesses at various points between March 2007 and July 2014.
 2. [Thomas Seiler Decision Notice \(PDF\)](#)
 3. [Louise Whitestone Decision Notice \(PDF\)](#)
 4. [Gustavo Raitzin Decision Notice \(PDF\)](#)
- vi. [FCA issues Final Notice to former CEO for anti-money laundering failings](#)
- vii. [FMSB Review; 11Nov2022.pdf](#)
- viii. [Survey by Acuiti and Eventus reveals increase in regulatory requirements, trading environment complexities drives investment in trade surveillance; 01Dec2022 .pdf](#)




- ix. [Considerations for Spoofing Detection – Proving Intent under CFTC Protocols; 11Nov2022.pdf](#)
- x. [SEC Enforcement Report Highlights Record-breaking Enforcement Year; 16Nov2022.pdf](#) & [SEC enforcement results for 2022 indicate continued focus on low-hanging fruit; 30Nov2022.pdf](#)
- xi. [CFTC Charges Former Energy Broker with Paying Brokerage Kickbacks and Misappropriating Non-public Information; 17Nov2022.pdf](#)
- xii. [Wolfsberg Group; Principles for Using Artificial Intelligence and Machine Learning \(AI/ML\) in Financial Crime Compliance; 04Dec2022.pdf](#)
1. The Principles should be operationalised by each financial institution according to a risk-based approach dependant on the prevailing and evolving regulatory landscape, as well as on its use of AI/ML against financial crime, and governed accordingly.
 2. consist of five elements that support a financial institution's responsible use of AI/ML in financial crime compliance applications:

- a. o Legitimate purpose.
- b. o Proportionate use.
- c. o Design and technical expertise.
- d. o Accountability and oversight.
- e. o Openness and transparency.

xiii.  [Themis Financial Crime November 2022 Newsletter.pdf](#)

1. Money Laundering: Deutsche Bank faces fines
2. Bribery & Corruption: Glencore fined £275 million, pleaded guilty to seven charges of corruption at Southwark Crown Court.
3. Terrorist Financing: Decreased focus on terrorist financing

e. Rule Books

i. [Further consultation and announcements on the wind-down of LIBOR](#) &  [Note; FCA Quarterly Consultation; No 38; 02Dec2022.pdf](#)

1. Amendment to the derivatives trading obligation: removal of USD LIBOR derivative products to reflect USD interest rate benchmark reform
2. *Q3.1: Do you agree with our proposal to remove all derivative products referencing USD LIBOR from the DTO? If not, please explain why.*
3. *Q3.2: Do you agree that the removal of USD LIBOR products from the DTO should take place on 24 April 2023? If not, please indicate what we should consider when selecting an alternate date.*
4. *Q3.3: Do you have any comments regarding which and when SOFR products should be brought within the scope of the DTO*
5. [BIS; Quarterly; The post-Libor world; a global view from the BIS; r_gt2212e.pdf](#)

Table 1: timeline of events relating to derivative products referencing USD benchmarks


01 May 2022	<ul style="list-style-type: none"> CFTC introduces US swap clearing requirement on OIS referencing SOFR 		
31 October 2022	<ul style="list-style-type: none"> Bank introduces DCO on OIS referencing SOFR 		
24 April 2023	<ul style="list-style-type: none"> CCPs to commence removal of contracts referencing USD LIBOR as eligible for clearing Bank removes contracts referencing USD LIBOR from DCO Proposal: FCA removes contracts referencing USD LIBOR from DTO 	Specification Trade start type Tenor Floating leg reference index	Variables Spot (T+2), IMM (next two IMM dates) 2, 3, 4, 5, 6, 7, 10, 12, 15, 20, 30Y USD LIBOR 3M, USD LIBOR 6M
01 July 2023	<ul style="list-style-type: none"> Most widely used USD LIBOR benchmarks to cease publishing CFTC removes contracts referencing USD LIBOR from US swap clearing requirement 		




ii. [FMLC-Paper-Duties-of-Good-Faith-in-Wholesale-Financial-Contracts.pdf](#)

iii. Mutual Recognition




iv. UK Financial Services Bill

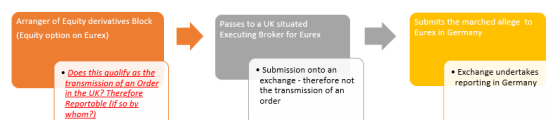
v. FCA Consultation on Multilateral Perimeter


1.  [EVIA Response to FCA CP22_ 18; Guidance on the trading venue perimeter; 25Nov2022.pdf](#)

2. [FMLC Response-to-FCA-Consultation-Paper-on-Guidance-on-the-Trading-Venue-Perimeter-Treatment-of-ESMA-QA-25.pdf](#)
3. [UKF & ISDA Response to FCA CP on Guidance on the Trading Venue Perimeter CP2218.pdf](#)
- vi.  [ESMA consults on rules for passporting for investment firms; 17Nov2022.pdf](#) &  [November 2022 status on EU proposals to regulate third country providers of financial services under CRDVI.pdf](#)
- vii. [ESMA; Consultation Paper on Market Outages](#)
- viii. [EU MiFIR2 & CTP – Update](#)
- ix.  [CFTC Substituted Compliance for Chief Compliance Officer Annual Reports; 02Dec2022.pdf](#)

f. Reporting Topics

- i. [UTI/UPI](#)
 1.  [UTI Talking Points; 11Nov2022.pdf](#)
 2.  [Notes from Global UTI – Cross trade association roundtable, held on 11th November 2022; 28Nov2022.pdf](#)
 - 3.
- ii. Likely new FCA advisory committee
- iii.  [Derivatives Service Bureau November Newsletter; 30Nov2022.pdf](#)
- iv. Questions Raised
 1. Errors and Omissions Forms Best Practice
 2. Best practice for amending erroneous transaction reports where the instruments were derivatives that were identified by ISINs that have since expired.
 3. CNY being outside the ISO 4712
 4. Transparency Errors
 5. Trading capacity of third country clients traded on own MTF/OTF.
 6. Transaction Reporting Voice trades / Execution within firm Field 59
 7. Reporting Structured Products, it seems if underlying is TOTV
 8. MPT reporting best practice; disclosed markup
 9. EMIR Reporting obligations
 10. Reporting obligation dependent upon whether the order was “Transmitted to an IF”. The specific contractual agreement set out between an arranger and the registering-broker?



- v.  [CFTC Commissioner Pham Encourages Self-reporting on Compliance Issues; 16Nov2022.pdf](#)
- vi. [FIRDS Lookup Tool](#)
- vii. [Quomply Webinar Recording](#): Transaction Reporting Pain Points

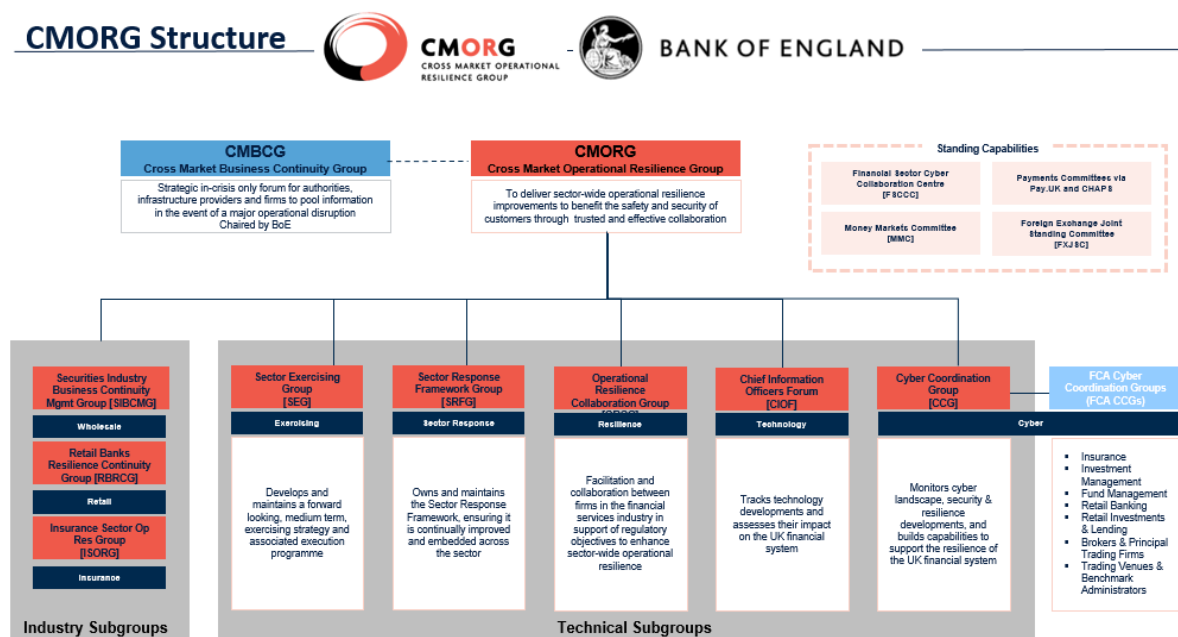
- viii. [Regulatory Conference Round Up](#)
- ix. [Transaction Reporting Frictions](#)

g. Exchange Blocks

- i. Comments from EFET on Block workup
- ii. TV Perimeter CP linkages

h. Cyber Risks

- i. [CMORG Structure.png](#) & [TACIG Q4 Minutes; 20Nov2022.pdf](#)
- ii. [EVIA; EU Cyber Resilience Act – proposed cyber-security rules for connected products; 15Nov2022.pdf](#) & [eu-cyber-resilience-act-proposed-cybersecurity-rules-for-connected-products.pdf](#)
- iii. [CPMI & IOSCO report 'Implementation monitoring of the PFMI; level 3 assessment on financial market infrastructures' cyber resilience'; 30Nov2022.pdf](#)



i. Energy and Commodities

- i. Mooted Imposition of Circuit Breakers for Financial Power markets
- ii. [esma24-436-1489_chair_opening_statement_econ_1_december_-_energy_derivative_markets.pdf](#)
- iii. [CPMI & EFET Contacts for Market Notices; 17Nov2022.pdf](#)
- iv. [IOSCO Recommends Guidelines for Establishing Carbon Compliance Markets; 15Nov2022.pdf](#)

j. Post Trade

- i. [The Bank of England's LDI autopsy; FT on Sarah Breeden Speech on Collateral and Shadow Banking; 07Nov2022.pdf](#)

-
- ii. [Note on AFME Government Bond Data Report for Q3 2022; 15Nov2022.pdf](#) & [AFME has published its Government Bond Data Report for the third quarter of 2022 \(Q3\); 15Nov2022.pdf](#)

k. Other

- i. Compliance Becoming More Costly: [KPMG & Innovate Finance Report highlights benefits of increased adoption of RegTech.](#)
 - ii. [ICARA Preparations; Proposed minor MiFIDPRU changes in FCA Quarterly Consultation; MRTs; Group Consolidation; COH; DTF; RA; Partnership AFR; 02Dec2022.pdf](#)
 - iii. [Key Requirements For Effective Surveillance Of Crypto Markets; Nasdaq Note; 03Nov2022.pdf](#)
 - iv. [France Q4 Financial Legislative & Supervisory Measures; 07Nov2022.pdf](#)
 - v. [Spotlight on the Appointed Representatives regime; 11Nov2022.pdf](#)
 - vi. [EC & ESAs set out priorities; Revised EU regulatory strategies and workplans; 12Nov2022.pdf](#)
 - vii. MAS - [MAS revises guidelines to Notice SFA04-N16 on Execution of Customers' Orders; 14Nov2022.pdf](#) & [Guidelines to Notice SFA04N16 on Execution of Customers Orders 4 Nov.pdf](#)
 - viii. [Fintech, AML future insights; Refinitiv Whitepaper; 15Nov2022.pdf](#)
 - ix. [Banking regulators on the Hill as election results solidify; 19Nov2022.pdf](#)
 - x. [Global-sanctions-index; Second-edition; Refinitiv; 17Nov2022.pdf](#)
-

Annexes, Links and Details

3. Sanctions

- a. On 2 December 2022, HM Treasury published [updated](#) statutory guidance to assist in the implementation of, and compliance with the Russia (Sanctions) (EU Exit) Regulations 2019. The guidance has been updated to clarify the application of the prohibition on provision of technical assistance, financial services or funds related to G7 dependency and further goods.
- b. Maritime transportation and services ban; *The UK, EU and U.S. restrictions are materially aligned and effectively prohibit the maritime transportation and services for the supply or delivery of Russian origin or Russian consigned / exported oil for maritime voyages between Russia and a third country or between two third countries. For the purposes of this client alert, "third country" refers to a country that is not the UK, the U.S., Canada, Japan or Australia, or not in the EU.*
 - i. These restrictions apply from 5 December 2022 for HS/CN Code 2709 products and from 5 February 2023 for HS/CN Code 2710 products of Russian origin or that are Russian consigned or exported from Russia (Restricted Oil Products).
 - ii. In respect of HS/CN Code 2709 products, there is a wind-down if the oil was loaded onto a ship before 5 December 2022 provided that it is discharged and clears customs in a third country before 19 January 2023.

- iii. [UK General Licence](#)
- iv. [U.S. Determination](#)
- v. [EU Amending Regulation](#) and [Implementing Regulation](#)
- c. [Moscow Exchange provides an opportunity to conclude OTC-deals with bonds with settlements in yuan](#)

4. Latest FCA Policy Development updates

- a. [PDF On 31 October 2022, the FCA published Handbook Notice No 103.pdf](#)
- b. [PDF CFTC Recognizes the UK FCA for Cross-Border Enforcement Cooperation & Decision of the Court of Appeal - R \(Sutton\) v FCA; 03 November 2022.pdf](#)
- c. [PDF FCA to Progress UK EMIR in late January; 15Nov2022.pdf](#)
- d. [PDF CP22_20; Further leaves unfurl on the tree of the UK ESG regime; 19Nov2022.pdf](#)
- e. [PDF FCA Regulation round-up November 2022.pdf](#)
- f. [PDF FCA: Diversity and inclusion; Driving change in our industry; Mills; 23Nov2022.pdf](#)
- g. [PDF FCA: Code of Conduct for ESG data and ratings providers; 23Nov2022.pdf](#)
- h. [PDF FCA highlights continuing concerns about problem firms in the CFD sector; 02Dec2022.pdf](#)
- i. [PDF FCA consults on regulatory fees and levies for 2023_24; 30Nov2022.pdf](#)
- j. [PDF FCA quarterly consultation paper: cp22-26; 02Dec2022.pdf](#)
- k. [PDF BOE & FCA; Transforming data collection communication to firms; Update; 28Nov2022.pdf](#)
- l. [Rolling regulation forwards](#); Speech by Nikhil Rathi, FCA CEO to the UK Finance annual dinner.
- m. [PDF FCA COO Speech by Emily Shepperd; From Zeroes to Heroes; How culture in financial services can change for everyone's benefit; 28Nov2022.pdf](#)
- n. [AI: Moving from fear to trust](#); Speech by Jessica Rusu, FCA Chief Data and CIO
- o. [PDF EST-PRA CEO Operational Effectiveness 221201.pdf](#) & [PDF FCA Nikhil Rathi response to the EST letter on a dynamic and agile approach to regulation 1122022.pdf](#)
- p. [FCA seeks members for new Innovation Advisory Group](#)
- q. [FCA issues Final Notice to former CEO for anti-money laundering failings](#)
- r. [FCA outlines stronger rules to protect consumers from rogue financial promotions](#)
- s. [FCA concerned about problem behaviours linked to trading app design](#)
- t. [PDF FCA admits being unprepared for 'mini' Budget's threat to pensions; 15Nov2022.pdf](#)

5. UK Government

- a. [PDF UK & European Regulatory and Political News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [PDF UK & European Regulatory & Political News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [PDF UK & European Regulatory & Political News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [PDF UK & European Regulatory & Political News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [PDF UK & European Regulatory, Political News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [PDF BOE Bank Rate increased to 3% - 03November 2022; Monetary Policy Summary and minutes of the MPC.pdf](#)
- g. [PDF BOE demand-led-approach-to-unwind-recent-financial-stability-gilt-purchases.pdf](#)

-
- h. [!\[\]\(cf5be311f7b2821912d8009884508fa2_img.jpg\) The Bank of England's LDI autopsy; FT on Sarah Breeden Speech on Collateral and Shadow Banking; 07Nov2022.pdf](#)
 - i. [!\[\]\(9804e70d96ff9fe9899b264c06a33cd7_img.jpg\) Bank of England wants more transparency for 'non-banks' after gilts turmoil; 07Nov2022.pdf](#)
 - j. [!\[\]\(4f49380f3d6bce047bc47b2072cc076f_img.jpg\) The-Bank-of-England-on-NBFI-and-Leverage-Scott-OMalia-Opening-Remarks.pdf](#)
 - k. [UK cabinet minister denies Sunak's government is considering Swiss-style links with EU & Sunday Times Article; 20Nov2022.pdf](#)
 - l. [!\[\]\(73944fd4f6fb83e4c64013731d1820cc_img.jpg\) HoC_SubCo letter on PRA CP8_22 'Remuneration; Unvested pay, Material Risk Takers and public appointments'; 25Nov2022.pdf](#)
 - m. [!\[\]\(d8f7165d5a8d1eba426ea452457190e5_img.jpg\) Landmark US-UK Data Access Agreement Enters into Force; 25Nov2022.pdf](#)
 - n. [!\[\]\(f608c4821f4fa8f3141b1baf96fa88f9_img.jpg\) A&O - Will EU and UK Fintech Regulation stay aligned 24 Nov 2022.pdf](#)
 - o. [!\[\]\(ecaac2a7ce9fc9f5de2e0b330d2ae13c_img.jpg\) UK and Singapore deepen collaboration in FinTech and strengthen financial cooperation; 25Nov2022.pdf](#)
 - p. [!\[\]\(f9b536c6b3afa5ea31dceef88a94e509_img.jpg\) Unwind of financial stability gilt purchases – BOE Market Notice & Minutes BoE call with GEMMs on Bank's approach to unwinding the portfolio of gilts purchased recently; 23Nov2022.pdf](#)
 - q. [!\[\]\(d6dd49217bf3ceede8ee3a91c4ef7927_img.jpg\) Minutes BoE call with GEMMs on Bank's approach to unwinding the portfolio of gilts purchased recently in line with its financial stability objective; 18Nov2022.pdf](#)
 - r. [!\[\]\(fca66e4dcc57d71aae53b43a17649d9d_img.jpg\) HMT Comments on UK FRF Plans; Andrew Griffiths; 01Dec2022.pdf](#)
 - s. [!\[\]\(9ff5120b524da85ef60b4c4679a8f290_img.jpg\) HMT updated advisory notice on AML and terrorist financing controls in high-risk third countries; 18Nov2022.pdf](#)
 - t.
 - u. [!\[\]\(ca0ae29f8fe0e283028131449e4c896b_img.jpg\) UK banks' Big Bang thankfully looks like big flop; Ringfencing; 30Nov2022.pdf](#)
 - v. [!\[\]\(32e9a660894b21ce35d98903d3e42ed1_img.jpg\) 2017, 2010, 1997; Why Sunak faces three prime ministerial problems all at once; Lord Ashcroft; 28Nov2022.pdf](#)

6. IFPR – IFR – Prudential Supervision (Op Risk and Resilience)

- a. [!\[\]\(4e333a6106fc298d0ae6dff272a736ef_img.jpg\) EVIA Prudential Roundup; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [!\[\]\(97089f8e07e24e31baa67366e358a709_img.jpg\) EVIA Prudential Roundup; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [!\[\]\(9496824b8cff3a19f59b81b37b57d8b6_img.jpg\) EVIA Prudential Roundup; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [!\[\]\(ec8d0f7e486e2280c113cd85015a8548_img.jpg\) EVIA Prudential Roundup; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [!\[\]\(fad66fecb73aae330937d501057cafc9_img.jpg\) EVIA Prudential Roundup; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [!\[\]\(a94e0943f5ecd6c1adc5223fd7677110_img.jpg\) ICARA Preparations; Proposed minor MiFIDPRU changes in FCA Quarterly Consultation; MRTs; Group Consolidation; COH; DTF; RA; Partnership AFR; 02Dec2022.pdf](#)
- g. [!\[\]\(f14ef06774200ee2342297364295aa0f_img.jpg\) What is the ICARA process and what is an ICARA document; Feb2022.pdf](#)
- h. [!\[\]\(fc5b69083c6c7efc78abd54fb1c8e530_img.jpg\) BCBS addresses recent episodes of NBFI distress; 23Nov2022.pdf](#)
- i. [!\[\]\(44329a5be70d7da178c176f4dc400266_img.jpg\) BIS newsletter on bank exposures to non-bank financial intermediaries; 25Nov2022.pdf](#)
- j. [!\[\]\(e8acad03efc4e1e51e61f51e08abcfab_img.jpg\) CMORG Structure.png & \[!\\[\\]\\(b080594840f2c960d0486e13bbc20b6f_img.jpg\\) TACIG Q4 Minutes; 20Nov2022.pdf\]\(#\)](#)
- k. [!\[\]\(23f890d44f916d45bc3635ac2828412b_img.jpg\) CPMI & IOSCO report 'Implementation monitoring of the PFMI; level 3 assessment on financial market infrastructures' cyber resilience'; d212.pdf](#)
- l. [!\[\]\(25a1b9995aa5f48f2b3cac0400969a8a_img.jpg\) DORA Digital finance; Council adopts Digital Operational Resilience Act; 28Nov2022.pdf](#)
- m. [!\[\]\(a92bd74bec46eea0a44404ed6e5a6ecb_img.jpg\) FATF Updates List of Jurisdictions with AML; CFT; CPF Deficiencies; 02Nov2022.pdf](#)
- n. [!\[\]\(36b730dfd060d5363444dc04a89d84c3_img.jpg\) FCA New financial resilience return looks to reduce reporting burden; 01Nov2022.pdf](#)
- o. [!\[\]\(a7ce143ce52c666a4d647282f1b4a080_img.jpg\) FSB publishes 2022 annual report on promoting global financial stability; 20Nov2022.pdf](#)

- p. [PDF](#) [FSB publishes annual report on its work to promote global financial stability; 15Nov2022.pdf](#)
- q. [PDF](#) [HMT_Basel_3.1_consultation_document.pdf](#)
- r. [PDF](#) [HoC_SubCo letter on PRA CP8_22 'Remuneration; Unvested pay, Material Risk Takers and public appointments'; 25Nov2022.pdf](#)
- s. [PDF](#) [Member States adopt general approach on CRR II and CRD VI proposals; 10Nov2022.pdf](#)
- t. [PDF](#) [NYDFS revises cyber regulation; 10Nov2022.pdf](#)
- u. [PDF](#) [Operational resilience – a new financial services community spirit; Bovill; 01Nov2022.pdf](#)
- v. [PDF](#) [PRA CP16_22 – Implementation of the Basel 3.1 standards in the UK; 30 November 2022.pdf](#)
- w. [PDF](#) [The Bank of England's LDI autopsy; FT on Sarah Breeden Speech on Collateral and Shadow Banking; 07Nov2022.pdf](#)
- x. [PDF](#) [The different types of risks are categorized in several different ways; Nov2022.pdf](#)
- y. [PDF](#) [The implementation of Basel 4; Capital requirements become much more complex; 12Nov2022.pdf](#)
- z. [PDF](#) [US SEC releases new rule on executive compensation clawbacks; 31Oct2022.pdf](#)
- aa. [Credit Markets; Closing 2022 – IASSON; Anticipating December; 25Nov2022.pdf](#)
- bb. [FSB annual report on its work to promote global financial stability; P161122; 15Nov2022.pdf](#)

7. EU Rules and ESAs and Swiss

- a. [PDF](#) [European Regulatory and Political News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [PDF](#) [European Regulatory & Political News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [PDF](#) [European Regulatory & Political News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [PDF](#) [European Regulatory & Political News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [PDF](#) [European Regulatory, Political News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [PDF](#) [Note; EU MiFIR Policy progress; Two aspects; Cash Fixed Income Transparency scalars & defining a .pdf](#)
- g. [PDF](#) [ESMA to withdraw the recognition decisions of six Indian CCPs; 31Oct2022.pdf](#)
- h. [PDF](#) [third-country_ccps_recognised_under_emir.pdf](#)
- i. [PDF](#) [ESMA Governance and Priorities takeaways from Board September 2022 Minutes; 02Nov2022.pdf](#)
- j. [PDF](#) [esma22-106-4182_september_2022_board_of_supervisors_-_summary_of_conclusions.pdf](#)
- k. [PDF](#) [esma22-106-4185_september_2022_management_board_-_summary_of_conclusions.pdf](#)
- l. [PDF](#) [Comparison of Fixed Income Transparency Proposals between FISMA and CWG; November 2022.pdf](#)
- m. [PDF](#) [CER insight 'Can EU enlargement gain momentum' by Luigi Scazzieri; insight_LS_3.11.22.pdf](#)

- n. [AFM_ State of the Capital Markets 2022.pdf](#)
- o. [Autumn 2022 markets-based Regulatory initiatives; 12Nov2022.pdf](#)
- p. [ECB reportedly probes energy firms' use of derivatives for hedging; 11Nov2022.pdf](#)
- q. [EC & ESAs set out priorities; Revised EU regulatory strategies and workplans; 12Nov2022.pdf](#)
- r. [Member States adopt general approach on CRR II and CRD VI proposals; 10Nov2022.pdf](#)
- s. [AFME CMU Key Performance Indicators Report Nov 22.pdf](#)
- t. [Keynote speech by Commissioner McGuinness at launch of the AFME annual report, "Capital Markets Union – Key Performance Indicators"; 18Nov2022.pdf](#)
- u. [ESMA consults on rules for passporting for investment firms; 17Nov2022.pdf](#)
- v. [November 2022 status on EU proposals to regulate third country providers of financial services under CRDVI.pdf](#)
- w. [EU Parliament adopts DORA; & EU Parliament adopts revised cybersecurity directive; 14Nov2022.pdf](#)
- x. [FINMA publishes revised Anti-Money Laundering Ordinance & Risk Monitor 2022; 14Nov2022.pdf](#)
- y. [ESMA seeking input on draft guidelines on the use in funds' names of ESG or sustainability-related terms; 18Nov2022.pdf](#)
- z. [ECB's President Christine Lagarde sets out three themes for ECB's macroeconomic policy; 18Nov2022.pdf](#)
- aa. [A&O - Will EU and UK Fintech Regulation stay aligned 24 Nov 2022.pdf](#)
- bb. [esma81-393-570_bmr_sanction_report_2021.pdf](#)
- cc. [ESMA; New Q&As available; CSDR and MAR; 25Nov2022.pdf](#)
- dd. [EU demand that derivatives traders use accounts at clearing houses in the bloc for some of their transactions; FT; 22Nov2022.pdf](#)
- ee. [France Q4 Financial Legislative & Supervisory Measures; 07Nov2022.pdf](#)
- ff. [FT; Brussels demands share of London derivatives clearing; EU-based traders could be required to clear minimum amount of 'systemic' derivatives contracts inside bloc; 22Nov2022.pdf](#)
- gg. [EMIR 3.0 Draft Proposal 251122.pdf](#) & [On FISMA's 'EMIR3' Draft Proposals due 07th Dec; 30Nov2022.pdf](#)
- hh. [ESMA; Opening Statement Steffen Kern; FTX; public_statement_to_econ_sk.pdf](#)
- ii. [EU struggles to agree on Russian oil price cap as deadline looms; 30Nov2022.pdf](#)
- jj. [CEPs; Time-to-re-energise-the-EUs-capital-markets.pdf](#)
- kk. [esma24-436-1489_chair_opening_statement_econ_1_december_-_energy_derivative_markets.pdf](#)
- ll. [DORA Digital finance; Council adopts Digital Operational Resilience Act; 28Nov2022.pdf](#)
- mm. [ESMA amends and consults on standards for benchmark administrator applications; 28Nov2022.pdf](#)
- nn. [Verena Ross' speech at the DSW / Better Finance International Investors' Conference, 6 December 2022 - The Green Deal vs. Geopolitics](#)

8. Conduct/ Enforcement/ PFOF

- a. [Conduct, Sanctions and Enforcement News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)

-
- b. [!\[\]\(aca6fcc8bd95e8255b9ea1b1d08ef300_img.jpg\) Conduct, Sanctions and Enforcement News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
 - c. [!\[\]\(0083087c61cec498ac803a4aec5bb1bd_img.jpg\) Conduct, Sanctions and Enforcement News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
 - d. [!\[\]\(2e94242fda9f31152eb2b29146bfce46_img.jpg\) Conduct, Sanctions and Enforcement News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
 - e. [!\[\]\(680c68b4e62fe5ec9774c1168e904fbf_img.jpg\) Conduct, Sanctions and Enforcement News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
 - f. [FMSB Review; 11Nov2022.pdf](#)
 - g. [!\[\]\(0012cbbec5c5a1cf6c111135ad58ebc0_img.jpg\) A&O Seminar - Behavioural risk management 9 Nov 2022.pdf](#)
 - h. [!\[\]\(87f26857125315836dd413b717a8c1ec_img.jpg\) BNP successfully tests DRR into CFTC P45 Required Reports; 02Nov2022.pdf](#)
 - i. [!\[\]\(615ec7e7e0f3dea1f20d356589f114f8_img.jpg\) CDIDE202242REV2 \(TRK CH\)_DDE IRG members list_Nov 2022.pdf](#)
 - j. [!\[\]\(4de969360fdb54eeda9f21a7a7358827_img.jpg\) Considerations for Spoofing Detection – Proving Intent under CFTC Protocols; 11Nov2022.pdf](#)
 - k. [!\[\]\(a2a9cf2d53e65666524c478455611427_img.jpg\) CFTC Recognizes the UK FCA for Cross-Border Enforcement Cooperation & Decision of the Court of Appeal - R \(Sutton\) v FCA; 03 November 2022.pdf](#)
 - l. [!\[\]\(625065e18fcf2a70e8b9353eff469f16_img.jpg\) Derivatives Service Bureau November Newsletter; 30Nov2022.pdf](#)
 - m. [!\[\]\(7350d93709b93230905dae80a2cce8d7_img.jpg\) Designing your control matrix for safeguarding and CASS; 01Nov2022.pdf](#)
 - n. [!\[\]\(c27dbf1b9c12f35a291530782bfc3819_img.jpg\) Exonerated trader sues Deutsche Bank over Libor rigging allegations; 20Nov2022.pdf](#)
 - o. [FCA issues Final Notice to former CEO for anti-money laundering failings](#)
 - p. [!\[\]\(65f8038c86ddbc0f86546ddc85ffbb97_img.jpg\) FCA consults on regulatory fees and levies for 2023_24; 30Nov2022.pdf](#)
 - q. [!\[\]\(66809a365ea12940db3cb7167d7b5e26_img.jpg\) FCA COO Speech by Emily Shepperd; From Zeroes to Heroes; How culture in financial services can change for everyone's benefit; 28Nov2022.pdf](#)
 - r. [!\[\]\(ff2d0c13ae9c8e54591d65819d381e21_img.jpg\) FCA highlights continuing concerns about problem firms in the CFD sector; 02Dec2022.pdf](#)
 - s. [!\[\]\(31f12604cc98f0f3bb84cb110c004eb5_img.jpg\) FCA launches new web page on raising standards in new firms and financial promotions; 25Nov2022.pdf](#)
 - t. [!\[\]\(6171adcc9e818b208ffd887ae0c24060_img.jpg\) FCA Regulation round-up October 2022.pdf](#)
 - u. [FCA fines Julius Baer International Limited £18m and publishes decision notices for three individuals; We have fined Julius Baer International Limited £18,022,500 for failing to conduct its business with integrity, failing to take reasonable care to organise and control its affairs and failing to be open and cooperative with the FCA.](#)
 - v. [!\[\]\(97c340c8df0fc519f361a19d217f3047_img.jpg\) FCA; Driving change in our industry – Speech by Sheldon Mills; 22Nov2022.pdf](#)
 - w. [!\[\]\(ce376e431559daf6f53dce8de823d6b0_img.jpg\) Global Broker Signs with KRM22 for At- and Post-Trade; 01Nov2022 .pdf](#)
 - x. [!\[\]\(35de55c59e42dbe9f03adad9344ececb_img.jpg\) Global-sanctions-index; Second-edition; Refinitiv; 17Nov2022.pdf](#)
 - y. [!\[\]\(ef8bce8b2a74deecef541a2d66434157_img.jpg\) Managing compliance risk; 03Nov2022.pdf](#)
 - z. [!\[\]\(56fea2ef894da341e77ce6d74d3f155f_img.jpg\) Managing compliance risk; 03Nov2022.pdf – Bovill on what the FCA expects to see when it comes to risk management.](#)
 - aa. [!\[\]\(f484f92c725c51adfd20144739a28e19_img.jpg\) Meta sanctioned with €265m over data scraping practices; 30Nov2022.pdf](#)
 - bb. [!\[\]\(1dc4823b0618d3855a0d4b39373aca83_img.jpg\) Notes; AFME's Compliance and Legal Conference; 13Oct2022.pdf](#)
 - cc. [!\[\]\(e4f517b0fa3fcb4c7ca70b19df63a7cf_img.jpg\) NRF Webinar; market abuse bitesize briefing on the key takeaways from recent FCA cases; Thursday, November 10, 2022.pdf](#)
 - dd. [!\[\]\(51c90c58a873f12b4f70c88dbfadead5_img.jpg\) Q4 Regulatory Barometer; 12Oct2022.pdf](#)
 - ee. [!\[\]\(ef834d970a50b8e527b13b6fe3c0e7c8_img.jpg\) Rolling regulation forwards; Speech by Nikhil Rathi, FCA at the UK Finance annual dinner; 17Nov2022.pdf](#)
 - ff. [!\[\]\(10bfcdeaa458b5a5a24f918b15974c3b_img.jpg\) SEC Enforcement Report Highlights Record-breaking Enforcement Year; 16Nov2022.pdf](#)

- gg. [PDF SEC enforcement results for 2022 indicate continued focus on low-hanging fruit: 30Nov2022.pdf](#)
- hh. [PDF Spotlight on the Appointed Representatives regime: 11Nov2022.pdf](#)
- ii. [PDF Summary note: FMLC Paper – Duties of Good Faith in the Wholesale Financial Contracts; 03Nov2022.pdf](#)
- jj. [PDF Survey by Acuiti and Eventus reveals increase in regulatory requirements, trading environment complexities drives investment in trade surveillance; 01Dec2022 .pdf](#)
- kk. [PDF Wolfsberg Group; Principles for Using Artificial Intelligence and Machine Learning \(AI ML\) in Financial Crime Compliance; 04Dec2022.pdf](#)
- ll. [PDF 'no LEI - no trade' consensus; 28Nov2022.pdf](#)
- mm. [PDF CFTC Charges Former Energy Broker with Paying Brokerage Kickbacks and Misappropriating Non-public Information; 17Nov2022.pdf](#)

9. AML / KYC / Reg Tech

- a. [PDF JMLSG Guidance Part II Consultation published; 08Nov2022.pdf](#)
- b. [PDF NRF Webinar; market abuse bitesize briefing on the key takeaways from recent FCA cases; Thursday, November 10, 2022.pdf](#)
- c. [PDF Fintech, AML future insights; Refinitiv Whitepaper: 15Nov2022.pdf](#)
- d. [PDF Themis Financial Crime November 2022 Newsletter.pdf](#)
- e. [PDF FINMA publishes revised Anti-Money Laundering Ordinance & Risk Monitor 2022; 14Nov2022.pdf](#)
- f. [PDF FCA issues Final Notice to former CEO for anti-money laundering failings; 18Nov2022.pdf](#)
- g. [PDF HMT updated advisory notice on AML and terrorist financing controls in high-risk third countries; 18Nov2022.pdf](#)

RegTech Emerging Trends

Given the increasing number of gaps that RegTechs fill, it is no surprise how quickly the industry is growing. According to Bloomberg, if the sector achieves an expected growth rate of ~24% CAGR annually, it could reach a valuation of US\$87 billion by 2028.

In particular, the current dominant domains of Cyber, Identity, Privacy and Financial Crime are expected to continue to grow. In addition, driven by new regulatory regimes such as Markets in Crypto-Assets (MiCA) and ESG standards, the emergence of a new wave of RegTechs in some of the relatively less talked about domains such as ESG (Environmental, Social and Governance) and Digital Assets Compliance (NFT, Crypto) should also be expected.

Compliance Management Solutions are another domain with predicted strong growth for 2023. Existing trends of complexity and breadth of regulation are likely to continue to drive adoption of Regulatory Change Management solutions. The introduction of wide-ranging regulatory reform, like the FCA's Consumer Duty rules aimed at improving the outcomes received by retail customers, lends itself to a range of existing RegTech solutions whose product governance, customer communication monitoring and outcomes testing solutions can be used to address the challenges these new rules create.

Finally with growth in outsourcing of compliance, a significant upward trend in RegTech adoption across the market segments should be expected.

What needs to be true for successful adoption

In order to continue growing the RegTech market at this anticipated growth rate, there are some focus areas that can help achieve successful market adoption. These areas are listed below, as highlighted by the UK RegTech Vendor Survey 2022 and included in the City of London's 2021 A Critical Year for RegTech paper:

Internal success factors for an organisation's adoption of RegTech:

- Updating legacy technology processes** results in improved integration of RegTech solutions into existing aging IT stacks.
- Shortened procurement cycles** to avoid long delays in the potential onboarding of RegTech solutions. This will confirm with the short deployment times often required by business to comply with regulatory change.
- Increased education and awareness** among senior management regarding available RegTech solutions and their comparative benefits vis-a-vis traditional solutions (in particular, the improved security of digital offerings).
- Increased boardroom support** for RegTech investment, due to increasing confidence in solutions and improved ability to develop quantifiable business cases for adoption (in monetary and reputational terms).

External success factors for an organisation's adoption of RegTech:

- Development of common data standards and interoperability between RegTechs.** Developing this within the market would ultimately benefit the institutions adopting RegTech within their wider business model and also help to accelerate adoption.
- Increased digitalisation within the regulatory framework.** Regulatory sentiment in the UK and EU are maturing in this field, which can help contribute towards increased RegTech adoption.
- A technology-positive stance of regulators.** Although it is not the responsibility of regulators to explicitly promote RegTech solutions, positive engagement is likely to reduce lingering scepticism amongst financial institutions with regards to fully embedding RegTech into their infrastructure.
- Increased market awareness around RegTech solutions and the benefits they offer.** Many market participants remain unaware of how RegTech can help firms solve their compliance challenges.
- Clarity regarding the reliability of smaller RegTechs – specifically their capitalisation and future resilience.** This would address any wariness on the part of traditional large-scale financial institutions regarding embedding smaller RegTech companies, their compliance challenges.
- Clarity around upcoming regulations** would avoid delayed investment decisions for new RegTech solutions.
- Progress towards internationally recognised accreditation standards** that RegTechs can conform to. The availability of consistent accreditation standards should provide increased comfort to potential users.

RegTech use cases

This section shines a spotlight on four representative use cases from the RegTech Taxonomy wheel to illustrate the potential benefits of RegTech solutions for a prospective client.

Cyber, Identity and Privacy combined with Financial Crime

The first use case is a combination of the Cyber, Identity and Privacy domain and the Financial Crime domain – as the two increasingly go hand-in-hand. By most measures, this area drives the most investment into RegTech.

As multinational companies operate in different regions and across a variety of verticals, they need to keep abreast of domestic and international laws and regulations to not only ensure that their service offerings are compliant, but that their end-users' privacy and identity are protected. Companies need to also take every step possible to protect their digital headquarters, and safeguard against cyber-attacks and other types of financial crime.

In particular, companies must ensure compliance with the following regulatory programmes and money laundering (AML) and counter financing of terrorism (CFT), anti-bribery and corruption (ABC), Know-Your-Customer (KYC), modern slavery, waste monitoring, sanctions screening, and Market Abuse Regulation (MAR).

Compliance with financial crime regulations is made increasingly complex to navigate due to the accountability placed on organisations, especially financial institutions, for their decision-making on personal data processing and privacy. This requires, for example, limits on storage of personal data. By investing in RegTech solutions, these complex rules can be embedded into the software by compliance and risk teams to reduce the time business teams need to spend on considering potential requirement conflicts. As a result, these business teams have their capacity freed up to focus on core activities.

If companies do not invest in RegTech to support these efforts, they run the risk of fines (including loss of licence), media scandals, reputational harm, and loss of revenue caused by business disruption.

RegTechs falling within this domain offer a range of technology-enabled identity verification solutions, including customer onboarding, company structure identification, beneficial ownership and document signing. These technology solutions can empower organisations from a variety of sectors to not only comply with the relevant regulatory programmes but also keep pace with wider market changes.

Some key applications include:

- Ensuring organisations are capable of detecting and stopping cyber-attacks which could result in loss of service and/or loss of confidential client data
- Sanctions monitoring and controls identifying corporate ownership structures, beneficial owners, directors and persons of significant control across international firms
- Validating individual user identity by cross-checking ID documents and biometric data
- Facilitating enhanced due diligence and detailed risk investigation
- Maintaining accurate, up-to-date, auditable authorised signatory lists
- Driving large-scale digitalisation and automation of corporate onboarding processes and on-going monitoring activities
- Automating the retention and deletion of documents and personal data to comply with storage limitation requirements whilst keeping data required for financial crime regulations

These applications bring about wide-scale benefits for firms adopting RegTech within their organisation.

Some key benefits include:

- **Enhanced security and crime detection** – by carrying out real-time ongoing threat assessments
- **Customer retention** via improved user experience and trust
 - Experience is improved as the verification process is swift and low friction compared to a physical branch visit
 - Trust is improved through the demonstration of how RegTech solutions better protect privacy compared to legacy solutions
- The automation often used in RegTech solutions reduces the chance of human error and enhances **cost efficiency**
- **Faster identification of high-risk customers** and firms allows financial institutions to quickly make risk-based decisions as to onboarding that customer or firm
- **Draws on much wider data sources:** wider breadth of data ingestion and processing compared to the manual alternative – with the ability to gather information from the *entire* internet
- **Improved compliance and risk management**

10. ESG Topics, Carbon, D&I & Disclosures

- a. [PDF EVIA November ESG matters and synopsis; 28Nov2022.pdf](#)
- b. [PDF CP22_20; Further leaves unfurl on the tree of the UK ESG regime; 19Nov2022.pdf](#)
- c. [PDF Slides Offsets London November22.pdf](#)
- d. [PDF IOSCO begins two 90-day carbon markets consultations; 10Nov2022.pdf](#)
- e. [PDF Negotiations on EU carbon market stuck in quagmire; 14Nov2022.pdf](#)
- f. [PDF FCA: Code of Conduct for ESG data and ratings providers; 23Nov2022.pdf](#)
- g. [PDF IOSCO Recommends Guidelines for Establishing Carbon Compliance Markets; 15Nov2022.pdf](#)
- h. [PDF COP27 ends in tears and frustration; 'The world will not thank us'; 20Nov2022.pdf](#)
- i. [PDF CP22_20; Further leaves unfurl on the tree of the UK ESG regime; 19Nov2022.pdf](#)
- j. [PDF Dieter Helm: Greta Thunberg was right about COP27 After yet another COP process, are we any further to getting serious about tackling climate change; 25Nov2022.pdf](#)
- k. [PDF In Carbon Credits We Trust; A Pragmatic Approach to Scaling Up the Voluntary Market; Bain; 03Nov2022.pdf](#)

11. Energy & ACER

- a. [PDF LEBA & Trayport Energy Volumes September 2022.pdf](#)
- b. [PDF LEBA Monthly Volumes & Trayport Commodities Report; October 2022; 25Nov2022.pdf](#)
- c. [PDF LEBA_Energy_Analysis_October_2022.pdf](#)
- d. [PDF LEBA_Energy_Volume_Report_October_2022.pdf](#)
- e. [PDF Trayport Commodities Report October 22.pdf](#)
- f. [PDF Energy and Commodities Roundup; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- g. [PDF Energy and Commodities Roundup; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- h. [PDF Energy and Commodities Roundup; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- i. [PDF Energy and Commodities Roundup; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- j. [PDF Energy and Commodities Roundup; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- k. [PDF EU gas cap would deliver \\$33bn blow to market, ICE: Brussels revolt over energy crisis plan unless it revises gas cap; Europe's energy crisis to linger for years, industry warns; 23Nov2022.pdf](#)
- l. [PDF TTF price cap; 'Heated' discussion among European energy ministers throws planned safeguards into further chaos; 26Nov2022.pdf](#)
- m. [PDF esma24-436-1489_chair_opening_statement_econ_1_december_-_energy_derivative_markets.pdf](#)
- n. [PDF 20221202_EFET_Concerns_Market_Correction_Mechanism_PP_ENG.pdf](#)
- o. [PDF EU struggles to agree on Russian oil price cap as deadline looms; 30Nov2022.pdf](#)
- p. [PDF Correggio Digest October & November 2022; 04Nov2022.pdf](#)
- q. [PDF Task to build new EU gas benchmark will be 'demanding', admits ACER; 31Oct2022.pdf](#)
- r. [PDF Brussels faces revolt over energy crisis plan unless it revises gas cap; FT; 23Nov2022.pdf](#)

- s. [PDF](#) [EU gas price cap would deliver \\$33bn blow to market, says ICE; FT; 23Nov2022.pdf](#)
- t. [PDF](#) [Commission proposes a new EU instrument to limit excessive gas price spikes ; 22Nov2022.pdf](#)
- u. [PDF](#) [Emergency Gas Regulation Political Agreement st14528.en22.pdf](#)
- v. [PDF](#) [ACER launches an open call for members for a new Expert Group on LNG Price Assessment, Benchmarks; 01Dec2022.pdf](#)
- w. [PDF](#) [ACER updates its REMIT data reporting guidance; 25Nov2022.pdf](#)
- x. [PDF](#) [FMSB Precious Metals WG; Data and Transparency Paper Structure for Working Group v2 31.10.22.pdf](#)
- y. [PDF](#) [Margin for non-cleared European energy trades to jump 80%; 08Nov2022 .pdf](#)
- z. [PDF](#) [ECB reportedly probes energy firms' use of derivatives for hedging; 11Nov2022.pdf](#)
- aa. [PDF](#) [OIES; European Gas Market Challenges; Winter 2022-23; Prof Jonathan Stern; 15Nov2022.pdf](#)
- bb. [PDF](#) [Surge in nickel prices threatened to blow \\$2.6bn hole in key LME entity; LME Halted trading saved \\$20B in nickel margin calls; 30Nov2022.pdf](#)
- cc. [IOSCO; Rodrigo Buenaventura of Spain appointed Chair of the IOSCO Sustainable Finance Task Force](#)
- dd. [PDF](#) [Celtic Interconnector Budget increase and progression; 15Nov2022.pdf](#)
- ee. [PDF](#) [The latest OIES Oil Monthly Issue 19; 18 November 2022.pdf](#)
- ff. [PDF](#) [Germany inaugurates first new LNG terminal; 15Nov2022.pdf](#)

12. Market Regs: MiFID2.2/ MiFIR/ EMIR/ SFTR / CSDR

- a. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [Note: EU MiFIR Policy progress; Two aspects; Cash Fixed Income Transparency scalers & defining a .pdf](#)
- g. [PDF](#) [Comparison of Fixed Income Transparency Proposals between FISMA and CWG; November 2022.pdf](#)
- h. [PDF](#) [Note: EU MiFIR Policy progress; Two aspects; Cash Fixed Income Transparency scalers & defining a .pdf](#)
- i. CSDR Mandatory Buy-ins likely to die - [PDF](#) [ECON Committee publishes draft report on proposed CSDR Refit; 11Oct2022.pdf](#)
- j. [EC's Tornese: Mandatory buy-ins will be last resort;](#)
- k. [PDF](#) [ESMA; New Q&As available; CSDR and MAR; 25Nov2022.pdf](#)
- l. [PDF](#) [EU demand that derivatives traders use accounts at clearing houses in the bloc for some of their transactions; FT; 22Nov2022.pdf](#)
- m. [PDF](#) [FT; Brussels demands share of London derivatives clearing; EU-based traders could be required to clear minimum amount of 'systemic' derivatives contracts inside bloc; 22Nov2022.pdf](#)

- n. [PDF](#) [CFTC Recognizes the UK FCA for Cross-Border Enforcement Cooperation & Decision of the Court of Appeal - R \(Sutton\) v FCA; 03 November 2022.pdf](#)
- o. [PDF](#) [Impact of Regulation Seen in BIS Interest Rate Data; 31Oct2022.pdf](#)
- p. [PDF](#) [BOE demand-led-approach-to-unwind-recent-financial-stability-gilt-purchases.pdf](#)
- q. [PDF](#) [Bank of England wants more transparency for 'non-banks' after gilts turmoil; 07Nov2022.pdf](#)
- r. [PDF](#) [The-Bank-of-England-on-NBFI-and-Leverage-Scott-OMalia-Opening-Remarks.pdf](#)
- s. [PDF](#) [ClarusFT; Have You Seen the BIS Triennial Survey 2022; Chris Barnes; 10Nov2022.pdf](#)
- t. [PDF](#) [UTI Talking Points; 11Nov2022.pdf](#)
- u. [PDF](#) [FCA to Progress UK EMIR in late January; 15Nov2022.pdf](#)
- v. [PDF](#) [EMIR 3.0 Draft Proposal 251122.pdf](#) & [PDF](#) [On FISMA's 'EMIR3' Draft Proposals due 07th Dec; 30Nov2022.pdf](#)
- w. [PDF](#) [ESMA to withdraw the recognition decisions of six Indian CCPs; 31Oct2022.pdf](#)
- x. [PDF](#) [third-country_ccps_recognised_under_emir.pdf](#)
- y. [PDF](#) [Comparison of Fixed Income Transparency Proposals between FISMA and CWG; November 2022.pdf](#)
- z. [PDF](#) [Unwind of financial stability gilt purchases – BOE Market Notice & Minutes BoE call with GEMMs on Bank's approach to unwinding the portfolio of gilts purchased recently; 23Nov2022.pdf](#)
- aa. [PDF](#) [Minutes BoE call with GEMMs on Bank's approach to unwinding the portfolio of gilts purchased recently in line with its financial stability objective; 18Nov2022.pdf](#)
- bb. [PDF](#) [ClarusFT; What's New in Term SOFR & How fragile is the SOFR swap market; Chris Barnes; 23Nov2022.pdf](#)
- cc. [PDF](#) [Notes from Global UTI – Cross trade association roundtable, held on 11th November 2022; 28Nov2022.pdf](#)
- dd. [PDF](#) [UK banks' Big Bang thankfully looks like big flop; Ringfencing; 30Nov2022.pdf](#)
- ee. [PDF](#) [Interest-Rate-Derivatives-Trading-Activity-Reported-in-EU-UK-and-US-Markets-Third-Quarter-of-2022.pdf](#) & [PDF](#) [IRD Activity Reported in EU, UK & US Markets; 03 2022.pdf](#)
- ff. [PDF](#) [Have Fixed Income Markets Found Their Medicine; Overbond opEd; 28Nov2022.pdf](#)
- gg. [PDF](#) [Autumn 2022 markets-based Regulatory initiatives; 12Nov2022.pdf](#)
- hh. EU Transparency proposals; [PDF](#) [Comparison of Fixed Income Transparency Proposals between FISMA and CWG; November 2022.pdf](#)
- ii. [PDF](#) [SwapsInfo Third Quarter of 2022 and Year-to-September 30, 2022, Review; Full Report; 07Nov2022.pdf](#)
- jj. [ERCC repo market survey](#), Number 43 - Conducted June 2022, shows new record outstanding value of EUR 9,680 billion at half-year 2022
- kk. FSB; [OTC Derivatives Market Reforms: Implementation progress in 2022](#);
- ll. [HMT announces plans to extend temporary recognition regime for overseas CCPs](#)
- mm. [MiFID II list of supplementary deferral regimes](#) - ESMA
- nn. [Equity swap clearing: LSEG aims to sway naysayers](#)
- oo. [PDF](#) [CDIDE202242REV2 \(TRK CH\)_DDE IRG members list_Nov 2022.pdf](#)
- pp. [FMSB Response-to-FCA-TV-Perimeter-Treatment -QA-25](#)
- qq. [UTI Generation & EMIR 3](#)
- rr. [Derivatives Service Bureau November Newsletter](#);

13. Benchmarks and LiBOR Topics

- a. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 44; 31st October 2022 to 05th November 2022.pdf](#)

- b. [!\[\]\(cf5be311f7b2821912d8009884508fa2_img.jpg\) Market Regs, Post Trading and Benchmarks News & Events; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [!\[\]\(9804e70d96ff9fe9899b264c06a33cd7_img.jpg\) Market Regs, Post Trading and Benchmarks News & Events; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [!\[\]\(4f49380f3d6bce047bc47b2072cc076f_img.jpg\) Market Regs, Post Trading and Benchmarks News & Events; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [!\[\]\(73944fd4f6fb83e4c64013731d1820cc_img.jpg\) Market Regs, Post Trading and Benchmarks News & Events; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [!\[\]\(d8f7165d5a8d1eba426ea452457190e5_img.jpg\) Transition-to-RFRs-Review-Third-Quarter-of-2022-and-Year-to-September-30-2022.pdf](#)
- g. [!\[\]\(f608c4821f4fa8f3141b1baf96fa88f9_img.jpg\) US drops rate-rigging charges against ex-Citi and UBS trader Tom Hayes; 31Oct2022.pdf](#)
- h. [!\[\]\(ecaac2a7ce9fc9f5de2e0b330d2ae13c_img.jpg\) Regulatory developments for Benchmark Administrators; Supervisory expectations and proposals to amend regulation; 12Nov2022.pdf](#)
- i. EU Rolls over BMR Waivers for 2 more years
- j. [BIS; Quarterly; The post-Libor world; a global view from the BIS; r_gt2212e.pdf](#)
- k. [!\[\]\(f9b536c6b3afa5ea31dceef88a94e509_img.jpg\) ISDA Annual Legal Forum Opening Remarks; Katherine Tew Darras, General Counsel, Libor Fallbacks Progress; 27Oct2022 .pdf](#)
- l. [!\[\]\(d6dd49217bf3ceede8ee3a91c4ef7927_img.jpg\) USD Term SOFR progress stalling under ARRC concerns & A New Plateau in RFR Adoption; 16November2022.pdf](#)
- m. [!\[\]\(fca66e4dcc57d71aae53b43a17649d9d_img.jpg\) ClarusFT; A New Plateau In RFR Adoption; Chris Barnes; 15 November 2022.pdf](#)
- n. [!\[\]\(9ff5120b524da85ef60b4c4679a8f290_img.jpg\) IBA Feedback Statement on the Consultation on the Potential Cessation of ICE Swap Rate based on \\$- LIBOR; 14Nov2022.pdf](#)
- o. [!\[\]\(ca0ae29f8fe0e283028131449e4c896b_img.jpg\) Exonerated trader sues Deutsche Bank over Libor rigging allegations; 20Nov2022.pdf](#)
- p. [!\[\]\(32e9a660894b21ce35d98903d3e42ed1_img.jpg\) esma81-393-570_bmr_sanction_report_2021.pdf](#)
- q. [!\[\]\(2b092d95e27e1f55a0ba5824db2b423e_img.jpg\) USD LIBOR transition tracker; 23 November 2022.pdf](#)
- r. [!\[\]\(ef23dcc3cb5c242bf166752e0a6fe444_img.jpg\) Cross market table of RFR conventions; 23Nov2022.pdf](#)
- s. [!\[\]\(a7d5fa75d2011982557d171e50e66558_img.jpg\) FCA feedback, 2024 extensions for synthetic LiBORs and further consultation and announcements on the wind-down of LiBOR.pdf](#)
- t. [!\[\]\(8a274f4c10b2a2a24342bcec19420b43_img.jpg\) ClarusFT; What's New in Term SOFR & How fragile is the SOFR swap market; Chris Barnes; 23Nov2022.pdf](#)
- u. [!\[\]\(3c252f5bbc59306f9c6317de96b95589_img.jpg\) LIBOR First \(where have we seen that before\); Marc Henred; 23Nov2022.pdf](#)
- v. [!\[\]\(d1c0d7617df95c44ff8ffe648f2ff187_img.jpg\) ESMA amends and consults on standards for benchmark administrator applications; 28Nov2022.pdf](#)
- w. [!\[\]\(7b3abc895b256a8bcc86c0e0584096c9_img.jpg\) FCA quarterly consultation paper; cp22-26; 02Dec2022.pdf](#)
- x. [!\[\]\(b627486b4e4903f9ef81b92994e949c5_img.jpg\) Minutes of the SONIA Stakeholder Advisory Group - 26 October 2022; 28Nov2022.pdf](#)

14. FX and Money Markets

- a. [!\[\]\(4e333a6106fc298d0ae6dff272a736ef_img.jpg\) FX Markets and Rates News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [!\[\]\(97089f8e07e24e31baa67366e358a709_img.jpg\) FX Markets and Rates News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [!\[\]\(9496824b8cff3a19f59b81b37b57d8b6_img.jpg\) FX Markets and Rates News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [!\[\]\(ec8d0f7e486e2280c113cd85015a8548_img.jpg\) FX Markets and Rates News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- e. [!\[\]\(fad66fecb73aae330937d501057cafc9_img.jpg\) FX Markets and Rates News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)

-
- f. [!\[\]\(aca6fcc8bd95e8255b9ea1b1d08ef300_img.jpg\) Traded Volumes - FX Platform Volumes Ease in October, but still Up Y-o-Y; 06Nov2022.pdf](#)
 - g. [!\[\]\(0083087c61cec498ac803a4aec5bb1bd_img.jpg\) Context and implications to Credit Suisse winning its case in New York against FX market manipulation by its traders; 27Oct2022.pdf](#)
 - h. [!\[\]\(2e94242fda9f31152eb2b29146bfce46_img.jpg\) Do we need to change how the BIS Triennial Survey data is collated and published; 31Oct2022.pdf](#)
 - i. [!\[\]\(680c68b4e62fe5ec9774c1168e904fbf_img.jpg\) FRBNY paper on the macroeconomic implications of a CBDC; 18Nov2022.pdf](#)
 - j. [!\[\]\(0012cbbec5c5a1cf6c111135ad58ebc0_img.jpg\) October FX Platform Volumes; 20Nov2022.pdf](#)
 - k. [!\[\]\(87f26857125315836dd413b717a8c1ec_img.jpg\) FX Platform Volumes Steady in November; 04Dec2022.pdf](#)
 - l. [!\[\]\(615ec7e7e0f3dea1f20d356589f114f8_img.jpg\) Is Code-Only Liquidity Better; Not Always Says Euronext FX; 03December2022.pdf](#)
 - m. [!\[\]\(4de969360fdb54eeda9f21a7a7358827_img.jpg\) FCA Fines Julius Baer for FX Kickback Scheme; 04Dec2022.pdf](#)
 - n. [!\[\]\(a2a9cf2d53e65666524c478455611427_img.jpg\) ClarusFT; NDF Clearing – What's New In 2022; Chris Barnes; November 30, 2022.pdf](#)
 - o. [!\[\]\(625065e18fcf2a70e8b9353eff469f16_img.jpg\) fxjsc-main-committee-minutes-12-september-2022.pdf](#)
 - p. [!\[\]\(7350d93709b93230905dae80a2cce8d7_img.jpg\) fxjsc-legal-sub-committee-september-2022.pdf](#)
 - q. [!\[\]\(c27dbf1b9c12f35a291530782bfc3819_img.jpg\) fxjsc-operations-sub-committee-september-2022.pdf](#)

15. Digitalisation of Regulatory Reporting and Cryptoassets

- a. [!\[\]\(79de0df6c6ddd2d4eb74f1cc5f48ec50_img.jpg\) FinTech, SupTech & RegTech News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [!\[\]\(d4c9768318b38eff1042b07478e20b4c_img.jpg\) FinTech, SupTech & RegTech News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [!\[\]\(27d314856359a9d7feca17161bc1f4a4_img.jpg\) FinTech, SupTech & RegTech News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [!\[\]\(d355663486c698e3972a8b93ac8b2102_img.jpg\) FinTech, SupTech & RegTech News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [!\[\]\(1858f6a9022d088c0a7eca873f99643b_img.jpg\) FinTech, SupTech, RegTech & Cryptoassets News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [!\[\]\(4a9a9afe1808e44249cde903a007394f_img.jpg\) FMLC; Response to Law Commission; Digital Asset Consultation; 08Nov2022.pdf](#)
- g. [!\[\]\(b0b1e1d141c1d30eea8a1d92bb8c534b_img.jpg\) Key Requirements For Effective Surveillance Of Crypto Markets; 03Nov2022.pdf](#)
- h. [!\[\]\(316b423ce8bbd71bb2a36e9bac10d673_img.jpg\) MAS Starts Wholesale CBDC Project Ubin+ for Cross-Border Payments; 02Nov2022.pdf](#)
- i. [!\[\]\(6a7af11e49db7e93318f420b9c6f4361_img.jpg\) MAS industry pilot for DEFI in wholesale funding markets; 03Nov2022.pdf](#)
- j. [!\[\]\(0c1acb844404b351d624d6dcaf274396_img.jpg\) OMFIF DMI Roundup; 01Nov2022.pdf](#)
- k. [!\[\]\(92f49556c888fa508fd3db783e5eae31_img.jpg\) Coinbase's Institutional Flip Side; 02Nov2022.pdf](#)
- l. [!\[\]\(6e74cc8726a40b1ca29d1edcf7f2e0cd_img.jpg\) DSB Product Committee; Digital Asset Strategy Sub-Committee; Draft Recommendations; 31Oct2022.pdf](#)
- m. [!\[\]\(4227cd23cec33cc26f070eea3ab5a42c_img.jpg\) ISDA Crypto Forum 2022 Opening Remarks and Legal Comments; 27Oct2022.pdf](#)
- n. [!\[\]\(77f94ad5244fff794f9d13f0a747f652_img.jpg\) MiCA matters; Why Europe is setting the pace on crypto regulation; 01Nov2022.pdf](#)
- o. [!\[\]\(43df43a626a916d02f1b1d271d3c8880_img.jpg\) Cash and CBDC, Apples and Oranges: They are not the same thing so stop comparing them; David Birch; 07Nov2022.pdf](#)
- p. [!\[\]\(5e4b2ff051c4dffd8ced6a9995d2d52a_img.jpg\) UBS native digital bond launched on SIX Digital Exchange and SIX Swiss Exchange; Three-year bond will leverage new operational link between CSDs of the two exchanges](#)
- q. [!\[\]\(cd61448845db3fd08cfc7d398d50ee74_img.jpg\) Gensler speaks on digital asset exchanges amidst market turmoil; 12Nov2022.pdf](#)
- r. [!\[\]\(778a0defafd53e01f7bc0d6c15aba164_img.jpg\) On FTX, Sam Bankman-Fried and Big-Tech; 12Nov2022.pdf](#)
- s. [!\[\]\(93db16f641c2d0614f132e3eef8f9ec0_img.jpg\) FMLC; Response to Law Commission; Digital Asset Consultation; 08Nov2022.pdf](#)
- t. [!\[\]\(e5797a21fd07befe62e4914c0150de04_img.jpg\) JMLSG Guidance Part II Consultation published; 08Nov2022.pdf](#)

- u. [!\[\]\(cdf2842d82858164c68c92720a337fb9_img.jpg\) Norton-Rose-Fulbright-FinTech-regulatory-updater-October-2022.pdf](#)
- v. [!\[\]\(3973dad7f2f3eafb2c144deb79d5c822_img.jpg\) ISDA announce that the first contractual standards for over-the-counter crypto derivatives are to be published by year end; 15Nov2022.pdf](#)
- w. [!\[\]\(78688513da7a924039ac16e546d7bf8b_img.jpg\) FTX businesses owe more than \\$3bn to largest creditors; FTX Synopsis; 20Nov2022.pdf](#)
- x. [!\[\]\(508a1136d49b79584e89f03b586dfa9e_img.jpg\) NY Fed announces wholesale digital dollar pilot; 19Nov2022.pdf](#)
- y. [!\[\]\(857a1917d2813fe7f9df1c2d3a9286e1_img.jpg\) CMORG Structure.png](#)
- z. [!\[\]\(6c12030baa33d7760a5e4c7c9e008d93_img.jpg\) Stablecoins fall few cents short of respectability; Reuters; 25Nov2022.pdf](#)
- aa. [!\[\]\(38d8e1eba6db628aa66110ffbf829043_img.jpg\) Crypto: The Collapse of FTX – A regulatory and claims perspective; Collyer Bristow; 24Nov2022.pdf](#)
- bb. [!\[\]\(218e1e0e988e6212fb15a7e877b1fe78_img.jpg\) Do not regulate crypto like stocks and bonds; FT OpED; 23Nov2022.pdf](#)
- cc. [!\[\]\(ca02584175f739a3a9985870e9ca2397_img.jpg\) The demise of FTX has delivered a tough lesson in the guiding principles of money management; FT; 23Nov2022.pdf](#)
- dd. [!\[\]\(f9450d1fb518b92488b39a94c400d077_img.jpg\) Crypto-assets, DeFi, CBDC and Regulation; BOE speech, Sir Jon Cunliffe; 22Nov2022.pdf](#)
- ee. [!\[\]\(bbac14d9f584b511ca50cf4531bddccf_img.jpg\) Issues, Risks and Regulatory Considerations Relating to Crypto-Asset Trading Platforms; IOSCO Final Report; IOSCO PD649; 22Nov2022.pdf](#)
- ff. [!\[\]\(59fc7ae9d843384ebfc41fce661d0228_img.jpg\) SDX's David Newns on the development of migration pathways between traditional and blockchain infrastructure; 21Nov2022.pdf](#)
- gg. [!\[\]\(ac66ea523f0d890349e632df767e32de_img.jpg\) DSB PC DAS SC Minutes_20221122_DRAFT.pdf](#)
- hh. [!\[\]\(920fd457e3bb5c25a3a6ed2bf990351e_img.jpg\) Digital assets; Senate and CFTC examine recent firm failures and more; 04Dec2022.pdf](#)
- ii. [!\[\]\(d29650a54eeb66cc3ee2b8a7f3a20874_img.jpg\) CFTC Chair Behnam Urges Congress to Act on Digital Assets; 01Dec2022.pdf](#)
- jj. [!\[\]\(1a466b909d90396f9a49928041833168_img.jpg\) Barr speaks on capital; Fed considering revamp of stress test; 04Dec2022.pdf](#)
- kk. [!\[\]\(36c7e754a51fc1d4f6e8f83e83059842_img.jpg\) EU carbon market reform 'progressing at snail's pace' ahead of final talks; 02Dec2022.pdf](#)
- ll. [!\[\]\(ae94b82556d80918812533267d719ad3_img.jpg\) The EU Strategy For Cryptoassets; 05 December; 2022.pdf](#)
- mm. [!\[\]\(342cb4b41ed49310bbbc097e273a0f91_img.jpg\) ESMA; Opening Statement Steffen Kern; FTX; public_statement_to_econ_sk.pdf](#)
- nn. [!\[\]\(e8c7b8c274a60b5ca118ce187d050deb_img.jpg\) DORA Digital finance; Council adopts Digital Operational Resilience Act; 28Nov2022.pdf](#)
- oo. [!\[\]\(567177af9fbe3d6c2df24d6d75030ce7_img.jpg\) BCBS Speech; Pablo Hernández; Digitalisation in Finance; International cooperation in a world of digitalisation; 28 November 2022.pdf](#)
- pp. [!\[\]\(44bf0962ce69cbe2fe407f6c89900fe3_img.jpg\) Disentangling the Crypto Crash of 2022; Collin Canright; 28Nov2022.pdf](#)

16. US & International

- a. [!\[\]\(7a8011739ec4e250e2f89a547d75fb0a_img.jpg\) US and Asia Regulatory News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)
- b. [!\[\]\(07dce76283bf618e2364d95ae0021e26_img.jpg\) US and Asia Regulatory News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- c. [!\[\]\(44ee86b940d3a0ca166486da8985875e_img.jpg\) US and Asia Regulatory News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- d. [!\[\]\(2262b99b3a4953f9b3dfd64b89c00d2e_img.jpg\) US and Asia Regulatory News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- e. [!\[\]\(72fd141c2b650e3974b4ac376f402874_img.jpg\) US and Asia Regulatory News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- f. [!\[\]\(2477f3a1e0e03bb543b1e7662e8cfcee_img.jpg\) Democrats pin hopes on turnout to avoid midterm election rout; 06Nov2022.pdf](#)
- g. [!\[\]\(b3585519a49e38e8d8527211b2b955fa_img.jpg\) PWC; SEC rulemaking bonanza; 04Nov2022.pdf](#)

- h. [PDF](#) [CFTC Recognizes the UK FCA for Cross-Border Enforcement Cooperation & Decision of the Court of Appeal - R \(Sutton\) v FCA; 03 November 2022.pdf](#)
- i. [PDF](#) [SGX'S MaxxTrader Launches Digital Asset Trading Solution with OTC FX Execution; 31Oct2022.pdf](#)
- j. [PDF](#) [BNP successfully tests DRR into CFTC P45 Required Reports; 02Nov2022.pdf](#)
- k. [PDF](#) [US SEC releases new rule on executive compensation clawbacks; 31Oct2022.pdf](#)
- l. [PDF](#) [US regulators issue Treasury market reform report; 11Nov2022.pdf](#)
- m. [PDF](#) [Gensler speaks on digital asset exchanges amidst market turmoil; 12Nov2022.pdf](#)
- n. [CFTC Staff Letter No. 22-15](#); extending its no-action positions for those package transactions where at least one individual swap component is made available to trade ("MAT") and therefore subject to the CEA section 2(h)(8) trade execution requirement, and all other components are contracts for the purchase or sale of a commodity for future delivery, i.e., futures contracts ("MAT/Futures Package Transactions"). [Request Letter](#); ISDA
- o. [PDF](#) [Considerations for Spoofing Detection – Proving Intent under CFTC Protocols; 11Nov2022.pdf](#)
- p. [PDF](#) [2022 midterms; Congressional control remains uncertain; 12Nov2022.pdf](#)
- q. [PDF](#) [SEC Adopts Amendments to Rule 17a-4 Electronic Recordkeeping Requirement; 12October2022.pdf](#)
- r. [PDF](#) [IMF: Vision for a multilateral Multi-Currency & Contracting Platform; 07Nov2022.pdf](#)
- s. [PDF](#) [FSB Chair writes to G20 Leaders ahead of the Bali Summit; 11 November 2022.pdf](#)
- t. [PDF](#) [NYDFS revises cyber regulation; 10Nov2022.pdf](#)
- u. [PDF](#) [FRB Identifies Prominent Risks to Financial Stability; 12Nov2022.pdf](#)
- v. [PDF](#) [SEC Enforcement Report Highlights Record-breaking Enforcement Year; 16Nov2022.pdf](#)
- w. [PDF](#) [CFTC Commissioner Pham Encourages Self-reporting on Compliance Issues; 16Nov2022.pdf](#)
- x. [PDF](#) [FRBNY paper on the macroeconomic implications of a CBDC; 18Nov2022.pdf](#)
- y. [PDF](#) [Banking regulators on the Hill as election results solidify; 19Nov2022.pdf](#)
- z. [PDF](#) [NY Fed announces wholesale digital dollar pilot; 19Nov2022.pdf](#)
- aa. [PDF](#) [Landmark US-UK Data Access Agreement Enters into Force; 25Nov2022.pdf](#)
- bb. [PDF](#) [UK and Singapore deepen collaboration in FinTech and strengthen financial cooperation; 25Nov2022.pdf](#)
- cc. [PDF](#) [Hong Kong's Swap Connect trading scheme faces delayed launch; Lack of final rules for programme could stall opening up of China's \\$5tn swap market; FT; 23Nov2022.pdf](#)
- dd. [PDF](#) [October 2022 SEF Tracker; 02Dec2022.pdf](#)
- ee. [PDF](#) [CFTC; Extension of no-action position with respect to Part 45 for entities submitting swaps for clearing by exempt DCOs; 22-18.pdf](#)
- ff. [PDF](#) [CFTC No Action Letters; 02Dec2022.pdf](#)
- gg. [PDF](#) [CFTC; NAL; Supplemental Staff Letter with respect to Swaps Trading on Certain Australian Financial Markets; 22-19.pdf](#)
- hh. [PDF](#) [CFTC Substituted Compliance for Chief Compliance Officer Annual Reports; 02Dec2022.pdf](#)
- ii. [PDF](#) [CFTC Chair Behnam Urges Congress to Act on Digital Assets; 02Dec2022.pdf](#)
- jj. [PDF](#) [SEC Outlines Priorities in FY 2022 - 2026 Strategic Plan.pdf](#) & [PDF](#) [sec_strategic_plan_fy22-fy26.pdf](#)
- kk. [PDF](#) [SEC enforcement results for 2022 indicate continued focus on low-hanging fruit; 30Nov2022.pdf](#)

- ll. [PDF](#) [Barr speaks on capital; Fed considering revamp of stress test; 04Dec2022.pdf](#)
- mm. [PDF](#) [Coalition Greenwich - U.S. Treasury Trading Market Structure \(Back\) in Focus - 2022-11-15.pdf](#)
- nn. [PDF](#) [CFTC Charges Former Energy Broker with Paying Brokerage Kickbacks and Misappropriating Non-public Information; 17Nov2022.pdf](#)

17. Consultations

New Consultations


- FCA: [CP22/23: Regulatory fees and levies: policy proposals for 2023/24](#)
- [PDF](#) [ESMA amends and consults on standards for benchmark administrator applications; 28Nov2022.pdf](#)

Open Consultations

- [PDF](#) [ESMA consults on rules for passporting for investment firms; 17Nov2022.pdf](#)
- [PDF](#) [IOSCO begins two 90-day carbon markets consultations; 10Nov2022.pdf](#)
- FCA: [CP22/23: Regulatory fees and levies: policy proposals for 2023/24](#)
- FCA: [CP22/20: Sustainability Disclosure Requirements \(SDR\) and investment labels](#)
- FCA: [CP22/19: Creation of a baseline financial resilience regulatory return](#)
- FCA: [CP22/18: Guidance on the trading venue perimeter](#)
- FCA & PRA: [DP22/3: Operational resilience: critical third parties to the UK financial sector](#)
- FCA: [CP22/17: Quarterly Consultation Paper No. 37](#)
- FCA: [CP22/26: Quarterly Consultation Paper No. 38](#)
- [PDF](#) [JMLSG publishes new consultation part 1; 18Sep2022.pdf](#)
- December 27, 2022; Comments Due: SEC Proposed Rule for US Treasuries Clearing (See 87 Fed. Reg. 64610-64682 (October 25, 2022) available at: <https://www.govinfo.gov/content/pkg/FR-2022-10-25/pdf/2022-20288.pdf>).
- ESMA: [Consultation Paper on Market Outages](#)
- ESMA: [Consultation Paper on Draft RTS on Business Reorganisation Plans \(Articles 37\(4\) And 38\(4\) of...](#)
- ESMA: [ESAs Call For Evidence On Greenwashing](#)
- ESMA: [Consultation Paper on the clearing and derivative trading obligations in view of the 2022 status of the benchmark transition](#)
- ESMA: [Consultation on Review Of The Technical Standards Under Article 34 of Mifid II](#)
- ESMA: [Consultation Paper on Review Of RTS on Authorisation & Registration](#)

18. Weekly Roundups for August 2022

- [PDF](#) [EVIA Weekly News; Week 48; 28th November 2022 to 03rd December 2022.pdf](#)
- [PDF](#) [EVIA Weekly News; Week 47; 21st November 2022 to 26th November 2022.pdf](#)
- [PDF](#) [EVIA Weekly News; Week 46; 14th November 2022 to 19th November 2022.pdf](#)
- [PDF](#) [EVIA Weekly News; Week 45; 07th November 2022 to 12th November 2022.pdf](#)
- [PDF](#) [EVIA Weekly News; Week 44; 31st October 2022 to 05th November 2022.pdf](#)

-
- f.  [EVIA LEBA Monthly Compliance Meeting Agenda: 0830 Wednesday 02nd November 2022.pdf](#)