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## [EVIA & LEBA Monthly Compliance Meeting](#)

0830 Wednesday 15<sup>th</sup> June 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.  [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 15th June 2022.pdf](#)
- c.  [FCA regulatory-intitiatives-grid-may-2022 \(updated 25th May 2022\).xlsx](#)
- d.  [FCA Market Watch 69; 17May2022.pdf](#) &  [FCA Market Watch 69; Summary and Full Note; 17May2022.pdf](#)
- e.  [Note on EVIA Call with FCA Regarding Preliminary ICARA; 25May .docx](#)
- f. Reporting Topics
  - i. ICARA Reporting – FCA Seminar
  - ii. EMIR Reporting and UTI
  - iii. P43 and P45 CFTC Reporting by SEFs; DTCC WG
    1. Exempt SEFs – Request by Dealers
    2.  [Part43\\_45TechnicalSpecification093021REDLINE.pdf](#)
  - iv.  [CDIDE202233REV1\\_CDIDE\\_-\\_IRG\\_CDE\\_Questions\\_June\\_2022.pptx](#)
  - v.  [2022\\_Joint AEMPs-OMPs-RRMs Roundtable\\_Draft Agenda.pdf](#) &  [2022\\_OMPs Roundtable\\_Draft Agenda.pdf](#)
  - vi.  [Notes and Slides from Joint roundtable meeting with AEMPs, OMPs and RRM; 13June2022.pdf](#)
  - vii.  [On the May 2022 formation of APARMA, a Trade Association for ARMs & APAs \[consequent to CTP proposals & Dear CEO Letters\].pdf](#)
- g. Exchange Blocks
  - i.  [A spike in Pan-European block trading volumes during the first half of this year; 20May2022.pdf](#)
  - ii.  [Virtu, Citadel, MarketAxess, BlackRock Found Consortium to Support RFQ-hub Growth; 20May2022.pdf](#)
- h.  [CNMV's Rodrigo Buenaventura \[obras son amores y no buenas razones; 24May2022.pdf](#)
- i.  [Industry Responses to the ESMA CP on a Multilateral System and its Perimeter.xlsx](#)
- j.  [Summary and Supervision Blog by Andrea Enria, ECB; The desks mapping review – integrating Brexit banks into European banking supervision; Frankfurt am Main, 19 May 2022.pdf](#)

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- k. [PDF CFTC roundtable on non-intermediation focuses on FCM benefits & default waterfalls; touches on customer protection, product suitability, self-certification, margin & liquidation issues; May2022.pdf](#)
  - l. [PDF NRF Slides on the UK Reg Activity Perimeter .pdf](#)
  - m. [PDF Brexit impact on trading location; Global OTC IRS markets; OSSTRA Q1 2022 review by Kirston Winters; 10 May 2022.pdf](#)
  - n. Conduct
    - i. [PDF White Times and FT Articles on the "Essex Boys"; 14May2022.pdf](#)
    - ii. [PDF CFTC InterimStaffReportNYMEX\\_WTICrudeOil; Contract Leading up to, on, and around April 20, 2020.pdf](#)
    - iii. [PDF EU's proposed crypto regulations are flawed; FT Comment; Karel Lannoo; 16May2022.pdf](#)
    - iv. [PDF FMSB; Behaviour-pattern Conduct Analysis; Market misconduct through the ages; A study of misconduct in global financial markets in the last 200+ years; 13June2022 .pdf](#)
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## Annexes, Links and Details

### 2. Sanctions

- a. Euroclear & FOB Settlement (v Operational Windows Opening)
- b. NDF Operations
- c. [PDF OIES; The EC guidance on the Russian 'gas for rubles' decree; all things to all people; 12May2022.pdf](#)
- d.































### 3. Latest FCA Policy Development updates

- a. [PDF FCA Market Watch 69; Summary and Full Note; 17May2022.pdf](#)
- b. [PDF FCA strengthens consumer protection by speeding up removal of firms that do not use their regulatory permission.pdf](#)
- c. [FCA PS22\\_5; 'New cancellation and variation power; Changes to the Handbook and Enforcement Guide'; 20May2022.pdf](#)
- d. [PDF FCA Handbook Notice 98;DSRPs and SMCR Fees; 29 April 2022.pdf](#)
- e. [PDF FCA; Innovation & Regulation; Partners in the success of Financial Services; 14June2022.pdf](#)
- f. [PDF FCA appoints members for new Secondary Markets Advisory Committee; 09June2022.pdf](#)
- g. [PDF FCA strengthens consumer protection by speeding up removal of firms that do not use their regulatory permission; 19May2022.pdf](#) \* [PDF FCA Permissions; 28-day use-it or lose-it; 19May2022.pdf](#)
- h. [PDF FCA planning reform of the listing regime to boost growth and competitiveness; 25May2022.pdf](#)
- i. [PDF Listening up to level up – regulating finance for the whole of the UK; Speech by Charles Randell; 20May2022.pdf](#)


























### 4. UK Government

- a. [PDF Queen's Speech – financial services aspects; 12May2022.pdf](#)
- b. [PDF FS skills roundtable - summary note.pdf](#)







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- c. [PDF The UK economic situation & monetary policy – speech by Huw Pill; 20 May 2022.pdf](#)
  - d. [PDF NRF Slides on the UK Reg Activity Perimeter .pdf](#)
  - e. [PDF Brexit impact on trading location; Global OTC IRS markets: OSSTRA Q1 2022 review by Kirston Winters; 10 May 2022.pdf](#)
5. **IFPR – IFR – Prudential Supervision(Op Risk and Resilience)**
- a. Note on EVIA Call with FCA Regarding Preliminary ICARA; 25May .docx [PDF Note on EVIA Call with FCA Regarding Preliminary ICARA; 25May .docx](#)
  - b. [PDF IFPR; first policy statement released; The FCA issued their first policy statement on the new prudential regime for investment firms last week; PS 21\\_6.pdf](#)
  - c. [PDF FCA; FG20\\_1; Assessing adequate financial resources; June2020.pdf](#)
  - d. [PDF Note on the Banking Package; ECB publishes opinion on proposed CRD6.pdf](#)
  - e. [PDF EVIA Prudential Roundup; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
  - f. [PDF EVIA Prudential Roundup; Week 19; 08th May 2022 to 15th May 2022.pdf](#)
  - g. [PDF EVIA Prudential Roundup; Week 17, 18; 08th May 2022 .pdf](#)
6. **EU Rules and ESAs**
- a. [PDF Verena Ross' speech on ESMA's priorities for transparency; esma70-445-372\\_verena\\_ross\\_speech\\_isda\\_agm.pdf](#)
  - b. [PDF Summary and Supervision Blog by Andrea Enria, ECB; The desks mapping review – integrating Brexit banks into European banking supervision; Frankfurt am Main, 19 May 2022.pdf](#)
  - c. [PDF ESMA's Recording of the Workshop on EU DLT Pilot Regime that took place on the 31st March 2022.pdf](#)
  - d. [PDF ECB paper on digital economy, privacy and central bank digital currency \(CBDC\); 20May2022.pdf](#) \* [PDF EVIA Note: ECB working paper on digital economy, privacy and CBDC; 20May2022.pdf](#)
  - e. [PDF DORA Trilogues Finished; Council and European Parliament reach provisional agreement; 12May2022.pdf](#)
  - f. [PDF CC Briefing; The Digital Markets Act; A new-era-for-the-digital-sector-in-the-EU; 18May2022.pdf](#)
  - g. [PDF Digital Finance; EU Parliament and Council reach political agreement on DORA; 16May2022.pdf](#)
  - h. [PDF Everything you always wanted to know...and even what you don't want to know about Mica, .pdf](#) \* [PDF Everything you always wanted to know...and even what you don't want to know about Mica; Briefing and Discussion Series Upcoming.pdf](#)
  - i. [PDF CNMV's Rodrigo Buenaventura \[obras son amores y no buenas razones; 24May2022.pdf](#)
  - j. [PDF Q&A on MiFID II and MiFIR transparency topics & CSDR Q&A; 20May2022.pdf](#)
  - k. [PDF ESMA publishes Final Reports on CCP resolution regime & reports on highly liquid instruments suitable for CCP asset purchase; 20May2022.pdf](#)
  - l. [PDF esma22-106-4032 -\\_msg\\_advice\\_on\\_mifid\\_suitability\\_guidelines.pdf](#)
  - m. [PDF Dutch Financial Infrastructure Legal Revisions; WFM; AFM; DNB; May2022.pdf](#)
  - n. [PDF European Regulatory & Political News; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
  - o. [PDF European Regulatory News; Week 19; 08th May 2022 to 15th May 2022.pdf](#)
  - p. [PDF European Regulatory News; Week 17, 18; 27th April 2022 to 07th May 2022.pdf](#)
7. **Conduct/ Enforcement/ PFOF**
- a. [PDF Tilman Lueder said lessons had been learned since Europe proposed a ban on payment for order flow in November; 13May2022.pdf](#)
  - b. [PDF VoxSmart Study on Social Media Comms Monitoring; 19May2022.pdf](#)

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- c.  [Trade Reconstruction Requirements; 19May2022.pdf](#)
  - d.  [The NFA charged Amerex Petroleum 2 Singapore and its Managing Director with Recordkeeping and Supervisory Failures; 08May2022.pdf](#)
  - e.  [Conduct, Sanctions and Enforcement News; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
  - f.  [Conduct, Sanctions and Enforcement News; Week 19; 08th May 2022 to 15th May 2022.pdf](#)
  - g.  [Conduct, Sanctions and Enforcement News; Week 17, 18; 27th April 2022 to 07th May 2022.pdf](#)
- 8. AML / KYC/ Reg Tech**
- a. JMLSG -
  - b.  [Wolfsberg Group FAQs on negative news screening; 13May2022.pdf](#)
  - c.  [US Pries into Over 100 Trader and Banker Phones in Texting Probe; WSJ; 18May2022.pdf](#)
  - d.  [Follow the \(AML\) Leader” – Canada Fast-Tracks its Beneficial Ownership Registry; May2022.pdf](#)
  - e.  [Financial Crime Outlook; AML and Market Abuse Monitoring; 21May2022.pdf](#)
  - f.  [Typologies-2022-Preventing Financial Crime in Crypto-NH.pdf](#)
  - g.  [EVIA Notes: Tokens and Stablecoins in Financial Crime; 21May2022.pdf](#) \*  [Tokens and Stablecoins in Financial Crime; 21May2022.pdf](#)
- 9. ESG Topics, D&I & Disclosures**
- a.  [CFTC Announces Voluntary Carbon Markets Convening on 02nd June.pdf](#)
  - b.  [OIES on Article 6 Voluntary Carbon Markets; 12May2022.pdf](#)
  - c. [European Parliament considerations around restricting financial participation in the EU ETS.pdf](#)
  - d.  [Greening the financial markets; challenges and opportunities at the current juncture; ICMA AGM; Vienna, 9 June 2022; Verena Ross Speech.pdf](#)
  - e.  [IMF bulletin on the importance of international cooperation on carbon prices; 19May2022.pdf](#)
  - f.  [Surge of investment into carbon credits creates boom time for brokers.pdf](#)
  - g.  [FSB launches consultation on supervisory and regulatory approaches to climate-related risks; 03May2022.pdf](#)
- 10. Energy & ACER**
- a.  [CRE fines EDF with the first sanction for insider trading under REMIT, and EDF\) for market manipulation; Cites MTF Perimeter.pdf](#)
  - b.  [2022\\_Joint AEMPs-OMPs-RRMs Roundtable\\_Draft Agenda.pdf](#)
  - c.  [2022\\_ OMPs Roundtable\\_Draft Agenda.pdf](#)
  - d.  [Notes and Slides from Joint roundtable meeting with AEMPs, OMPs and RRM; 13June2022.pdf](#)
  - e.  [Post Trade Paper Structure For Precious Metals FMSB Working Group\\_v6.0\\_18.05.22.docx](#)
  - f.  [Correggio Regulatory Report - MARCH, APRIL 2022.pdf](#) &  [Gas Storage and SoS Briefing Note; Correggio-Briefing\\_08.05.2022.pdf](#)
  - g.  [Review of Ofgems regulation of the energy supply market\\_May 2022.pdf](#)
  - h.  [Oxera Review of OFGEM failings; 05May2022.pdf](#)
  - i.  [Dieter Helm; How-to-pay-for-energy; 04May2022.pdf](#)
  - j.  [Energy and Commodities Roundup; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
  - k.  [Energy and Commodities Roundup; Week 19; 08th May 2022 to 15th May 2022.pdf](#)

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- l. [Energy and Environmental News Roundup; Week 17, 18; 27th April 2022 to 07th May 2022.pdf](#)
- m. [LME's Chamberlain Wants to Unlock Commodity Trading's Black Box.pdf](#)
- 11. Market Regs: MiFID2.2/ MiFIR/ EMIR/ SFTR / CSDR**
- a. [ANNA-DSB Newsletter; 18May2022.pdf](#)
- b. [FCA FITRS - Annual transparency calculations for non-equity instruments; 16May2022.pdf](#)
- c. [Key Trends in the Size and Composition of OTC Derivatives Markets in the Second Half of 2021; ISDA Research; 14June2022.pdf](#)
- d. [BOE CP on the proposed changes to the derivatives clearing obligation; 13June2022.pdf](#)
- e. [Industry Responses to the ESMA CP on a Multilateral System and its Perimeter.xlsx](#)
- f. [ISDA; Interest-Rate-Derivatives-Trading-Activity-Reported-in-EU-UK-and-US-Markets-February-2022.pdf](#)
- g. [ClarusFT; 1Q22 CCP Volumes and Market Share in IRD; Amir Khwaja; 11 May 2022.pdf](#)
- h. [All-to-All-Trading-Takes-Hold-in-Corporate-Bonds; Greenwich & MAX; 06May2022.pdf](#)
- i. [MiFIR 2021 Corporate Bond Trade Data Analysis and Risk Offset Impact Quantification; 03April2022.pdf](#)
- j. [LSEG Mifid II London roadshow on CTP and divergence; 06May2022.pdf](#)
- k. [ISDA AGM Conference Notes; 12th and 13th May2022.pdf](#)
- l. [CSDR; ESMA postpones buy-in regime under CSDR by three years; 08 June 2022.pdf](#)
- m. [Market Regs. Post Trading and Benchmarks News & Events; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
- n. [Market Regs. Post Trading and Benchmarks News & Events; Week 19; 08th May 2022 to 14th May 2022.pdf](#)
- o. [Market Regs. Post Trading and Benchmarks News & Events; Week 17, 18; 27th April 2022 to 07th May 2022.pdf](#)
- 12. Benchmarks and LIBOR Topics**
- a. [LIBOR-SOFR transition in Week 20: still many unknowns; LCH consultation regarding the Conversion of Outstanding Cleared USD LIBOR Contracts.pdf](#)
- b. [LIBOR Transition - Market update; April 1-30, 2022.pdf](#)
- c. [BlackRock Projects Global Bond ETF Assets to Reach \\$5 Trillion by 2030; 20May2022.pdf](#)
- d. [IQ-in-Brief--ISDA-AGM-Special; 20May2022.pdf](#)
- e. [Index Providers Earn Record Revenues as Investors' Quench Thirst for Thematic Investments; 13May2022.pdf](#)
- 13. FX and Money Markets**
- a. [BOE FX Committee Minutes; May2022.pdf](#)
- b. [ICMA-GMRA-Clause-Taxonomy-and-Library-Strategy-Paper-May-2022.pdf](#)
- c. [Markets and Rates News; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
- d. [Markets News; Week 19; 08th May 2022 to 15th May 2022.pdf](#)
- e. [Markets News for Week 17,18; Credit, Rates, FX; 08th May 2022.pdf](#)
- f. [Impetus for change: Will the introduction of SA-CCR provide an industry wide catalyst for behavioural change in FX markets.pdf](#)
- 14. Digitalisation of Regulatory Reporting and Cryptoassets**
- a. [EU's proposed crypto regulations are flawed; FT Comment; Karel Lannoo; 16May2022.pdf](#)

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- b.  [FIA questions FTX futures trading plan; Cryptocurrency exchange would replace intermediaries with automated risk management; 13May2022.pdf](#)
  - c.  [Lunch with the FT; Crypto billionaire Sam Bankman-Fried; 'I got involved with no clue what a blockchain was'; 13May2022.pdf](#)
  - d.  [On a UK CBDC; Identity and the New Money; 14 June 2022.pdf](#)
  - e.  [Industry Letter - June 8, 2022; Guidance on the Issuance of U.S. Dollar-Backed Stablecoins; Department of Financial Services.pdf](#)
  - f.  [ISDA; Crypto-asset-Risks-and-Hedging-Analysis; 24May2022.pdf](#) \* [EVIA Note on Crypto-asset Risks and Hedging Analysis; ISDA; 24May2022.pdf](#)
  - g.  [Crypto-assets; ECB article decrypting financial stability risks; 24 May 2022.pdf](#)
  - h.  [CFTC roundtable on non-intermediation focuses on FCM benefits & default waterfalls; touches on customer protection, product suitability, self-certification, margin & liquidation issues; May2022.pdf](#)
  - i.  [EVIA Notes; Tokens and Stablecoins in Financial Crime; 21May2022.pdf](#) \*  [Tokens and Stablecoins in Financial Crime; 21May2022.pdf](#)
  - j.  [Identity & the New Money; Pseudonymity- No digital currency without digital identity; 17May2022.pdf](#)
  - k.  [You Lost Your Electronic Cash; Tough Luck ; David Birch; 11May2022.pdf](#)
  - l.  [Identity is the New Money; Pseudonymity.pdf](#)
  - m.  [A Solution in Search of Problem; David Birch Comments; 09May2022.pdf](#)
  - n.  [Measuring Liquidity in European Corporate Bond Markets; 16May2022.pdf](#)
  - o.  [IMF paper on 'Digital Money and Central Bank Operations; Singh; 06May2022.pdf](#)
  - p.  [What is So Smart About Smart Contract Platforms; 07May2022.pdf](#)
  - q.  [Jane Street Uses Decentralized Finance to Borrow Crypto; 06May2022.pdf](#)
  - r.  [BIS has published the results of the 2021 BIS survey on central bank digital currencies; 06May2022.pdf](#)
  - s.  [Summary note; Results of the 2021 BIS survey on CBDC; Gaining momentum; 08May2022.pdf](#)
  - t.  [Tokenization Primed to Disrupt Full Financial Services Stack, Finds New Fireblocks Research; 07May2022.pdf](#)
  - a.  [Major financial firms start moving into cryptoassets; 08May2022.pdf](#)
  - b.  [APRA sets out initial risk management expectations and policy roadmap for crypto-assets; 17May2022.pdf](#)
  - c.  [FinTech, SupTech & RegTech News; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
  - d.  [FinTech, SupTech & RegTech News; Week 19; 08th May 2022 to 15th May 2022.pdf](#)
  - e.  [FinTech, SupTech & RegTech News; Week 17, 18; 27th April 2022 to 07th May 2022.pdf](#)

## 15. US & International

- a.  [CFTC Extends No-Action Relief for DCOs from Reporting and Recordkeeping Obligations.pdf](#)
- b.  [CFTC warns firms to fix swap data errors before the ReWrite; 13June2022.pdf](#)
- c.  [CFTC Proposes LIBOR-Related Mandatory Clearing Changes; 11May2022.pdf](#)
- d.  [CFTC InterimStaffReportNYMEX\\_WTICrudeOil; Contract Leading up to, on, and around April 20, 2020.pdf](#)
- e.  [SEC Chair Gensler's remarks on market structure is a potential win for exchanges, loss for brokers; 09June2022.pdf](#)
- f.  [SEC Fixed Income Reform; May2022.pdf](#)
- g.  [PWC; FS Update; 20May2022; Fed; Agency Powers; & Radar.pdf](#)

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- h.  [Part43\\_45TechnicalSpecification093021REDLINE.pdf](#)
  - i.  [CFTC roundtable on non-intermediation focuses on FCM benefits & default waterfalls: touches on customer protection, product suitability, self-certification, margin & liquidation issues; May2022.pdf](#)
  - j.  [Knot-ISDA-AGM-Keynote-speech; FSB Chair: on the current challenges to global FinancialStability and the measures we are taking to address them; 11May2022.pdf](#)
  - k. [Shared Positives; Keynote Address of Chairman Rostin Behnam at the ISDA 36th Annual General Meeting, Hotel Riu Plaza España, Madrid; 11 May 2022.pdf](#)
  - l.  [ASIC cp361-published-16-may-2022.pdf](#)
  - m.  [US and Asia Regulatory News; Week 20; 16th May 2022 to 21st May 2022.pdf](#)
  - n.  [US and Asia Regulatory News; Week 19; 08th May 2022 to 14th May 2022.pdf](#)
  - o.  [US and Asia Regulatory News; Week 17, 18; 27th April 2022 to 07th May 2022.pdf](#)

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