

EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 02nd August 2023

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]

Matters arising

- a. Member Comments
- b. CME/ EVIA-LEBA Compliance Roundtable 0815 on Tuesday September 12th
- c. Aged Brokerage; Survey Structure; [EVIA Outstanding Receivables Survey of UK entities for FCA; April 2023.xlsx](#)
- d. [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 02 August 2023.pdf](#)
- e. [Updated-OTC-Derivatives-Compliance-Calendar-2023-8-1.pdf](#)
- f. [FCA Regulation Roundup; 29July2023.pdf](#)
- g. [FCA Market Watch 74 – Transaction Reporting Data Quality; 25July2023.pdf](#) & [FCA Market Watch 74; transaction reporting and the submission of financial instrument reference data; 25July2023.pdf](#)
- h. [FCA handbook-notice-111; July2023.pdf](#)
 - i. TV Perimeter
 - ii. Fees
- i. [June 2023 SEF Tracker; 17July2023.pdf](#)
- j. US Overseas Audit/ Applications/ Supervision by NFA and FINRA (James Nicholls; Braithwaite)

Standing Items

1. Conduct

- a. [FMSB Publishes Conduct Management Review; 30July2023.pdf](#) & [FMSB-Conduct-and-Culture-MI-Report-July-24-2023.pdf](#)
- b. [ESMA report on STORs; 17July2023.pdf](#)
- c. [Mansion House Reforms aim to deliver a smarter regulatory framework; 11July2023.pdf](#)
- d. [CC; revoking-and-replacing-retained-eu-law-how-do-fsma-2023-and-the-reul-act-compare; 17Aug2023.pdf](#)
- e. [PRA consults on Pillar 3 remuneration disclosure requirements; 31July2023.pdf](#)
- f. [FCA Cum-ex Fine; bastion-capital-london-ltd-2023; 15July2023.pdf](#) & [bastion-capital-london-ltd-2023.pdf](#)
- g. [Model-Risk-Electronic-Trading-Algorithm_TRANSPARENCY-DRAFT.pdf](#)

- h. [PDF](#) [BNP Paribas to Settle SEC, CFTC Probes Over Use of Banned Messaging Apps; bank has reached proposed resolutions with the regulators; 29July2023.pdf](#)
- i. [PDF](#) [FCA publication; Financial promotions on social media guidance consultation; 20July2023.pdf](#)

2. Rule Books

- a. FCA & ESMA ongoing work on TV Outages
- b. [PDF](#) [ESMA publishes report on the call for evidence on pre-hedging; 12July2023.pdf](#) & [PDF](#) [On the ESMA Guidance around pre-hedging; 21July2023.pdf](#)
- c. [PDF](#) [ESMA Manual on post-trade transparency; 11July2023.pdf](#)
 - i. [ESMA Manual on post-trade transparency \[esma.europa.eu\]](#).
 - ii. Questions on whether the FCA are adopting these changes?
- d. MiFIR Trilogues Technical Trilogues - Still Ongoing
 - i. [PDF](#) [MiFID 4CT - 30.06.2026.pdf](#) & [PDF](#) [MiFIR 4CT - 3rd trilogue \[30June2023\].pdf](#)
 - ii. [PDF](#) [On Commodity Derivatives under MiFID3 Technical Trilogues; 03July2023.pdf](#)
 - iii. [PDF](#) [ESMA Wendt's Speech Developments in European Commodity Derivatives; 08July2023.pdf](#)
- e. [PDF](#) [ps23-11; 'Guidance on the trading venue perimeter'; 05July2023.pdf](#) & [PDF](#) [Note on FCA PS23_11 'Guidance on the trading venue perimeter'; 05July2023.pdf](#)
- f. [ESMA publishes data for quarterly bond liquidity assessment, the systematic internaliser calculations and the CTP calculations: published the new quarterly liquidity assessment of bonds](#)
 - i. [The transparency requirements for bonds deemed liquid today will apply from 21 August to 19 November 2023.](#)
 - ii. the [data](#) for the quarterly systematic internaliser calculations for equity, equity-like instruments, bonds and for other non-equity instruments and the [consolidated tape provider \(CTP\)](#) under MiFID II and MiFIR.
- g. [PDF](#) [ClarusFT; Even More on Blocks and new rules for FX; Chris Barnes; 26July2023.pdf](#)
- h. [XLS](#) [CFTC Revised Block Trade Thresholds for Interest Rate Swaps.xlsx](#)
- i. [XLS](#) [2021 European Cross-border access regimes .xlsx](#)
- j. [PDF](#) [UK regulators publish summer update to Regulatory Initiatives Grid; 20July2023.pdf](#) & [PDF](#) [FCA publishes rule review framework; 14July2023.pdf](#)
- k. HMT on Short Selling (this has largely been a battle between HMT and the FCA oddly enough. The compromise outcome has now been published).
 - i. [PDF](#) [HM Treasury publishes response to UK Short Selling Regulation call for evidence and launches further consultation; 11July2023.pdf](#)
 - ii. [Short Selling Regulation: consultation – sovereign debt and credit default swaps - GOV.UK \(www.gov.uk\)](#)
- l. **Benchmarks / LiBOR**
 - i. [PDF](#) [JTAG Briefing Paper; The Importance of Reforming the UK Benchmarks Regulation; Draft v. 01August2023 .pdf](#)
 - ii. [PDF](#) [Alternative Reference Rates Committee Meeting Readout; 31July2023.pdf](#)
 - iii. [PDF](#) [FCA Comms; The US dollar LIBOR panel has now ceased; 03July2023.pdf](#)

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- iv. [PDF BMR; Note of the ESC Meeting to consider extension and reform; 22June2023.pdf](#)
 - m. **Crypto & Digital Assets**
 - i. [PDF FCA Letter to TVs wrt Cryptoasset intentions; 03July2023.pdf](#)
 - ii. [UK "Sandboxes"](#)
 - iii. [PDF UK Treasury Committee publishes Government's response to regulating crypto report; 31July2023.pdf](#)
 - iv. [PDF JMLSG consultation – cryptoasset transfers; 31July2023.pdf](#)
 - v. [PDF UKF & OW; Unlocking the power of securities tokenisation; 07July2023.pdf](#)
 - n. **FX**
 - i. FX Platform RTN provision for EMIR 3 [TVTIC]
 - 1. [PDF UK and EU EMIR-Refit approaches to RTN \(and an EMIR3 counterparty reporting template\); 01Aug2023.pdf](#)
 - 2. [EMIR3; Template for 4.6-4.10 Reporting of lifecycle events vs business events; 16July2023.xlsx](#)
 - ii. FCA MW #74 regarding FX Spot and any impact on Swaps characterisation
 - iii. HMT Perimeter on FX Forwards and NDFs as NIPs under DAR [CPE] - [FX Market Wholesale Conduct Rules Perimeter under WM FRF Reviews.pdf](#)

3. Reporting Topics and Queries

- i. Transaction Reporting (FCA Comments); [PDF FCA MRT Statement - Supervisory flexibility on transaction reporting; 27July2023.pdf](#)
- ii. [PDF FCA Market Watch 74 – Transaction Reporting Data Quality; 25July2023.pdf](#) & [PDF FCA Market Watch 74; transaction reporting and the submission of financial instrument reference data; 25July2023.pdf](#)
- iii. Transaction Reporting Questions Arising:
 - 1. [PDF On Transaction Reporting Obligations for NGU; 31July2023.pdf](#)
 - 2. Use of NORE in Field 59 - Execution within firm
 - 3. TRS where a fixing date just precedes the final settlement date; why would it not be the final settlement date ...
 - 4. FCA Response on where IDB arranges MPT onto a third-party TV (whether to an in-house OTF or equities onto LSEG). - we can't see any reason why the same approach could not be used as for the same type of transactions matched on an OTF (i.e. where the orders of two clients are being matched at different traded prices two reports one with INTC as the buyer and one of the clients as seller and the other with INTC as seller and the other client as buyer).
 - 5. MDP Validation and Reporting Croatian HRK Derivatives (on whether HRK remains on the accepted list of currency codes) – FCA and ESMA Response
 - 6. Where Central banks
 - 7. Where SFTs & repos fall under SFTR regime and not MiFIR
- iv. T+1 Taskforce:
 - 1. [Final Report - PDF Paper - Key challenges of US T+1 for Europe.pdf](#)
 - 2. [Word T+1 Sub-Group Participants.docx](#) & [PDF EU T+1 Sub-Group structure and questions \(002\).pdf](#)

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3. [PDF European T+1 Task Force - Terms of Reference - v3.pdf](#)
 - v. [PDF Anna-DSB OTC ISIN service continuity with the introduction of the UPI Service; 05July2023.pdf](#)
 - b. **Exchange Blocks**
 - i. CME/ EVIA-LEBA Compliance Roundtable 0815 on Tuesday September 12th
 - ii. ICE - CME alignment
 - c. **Energy and Commodities**
 - i. [PDF LEBA Note: ESMA Final Report Intra-day Volatility Management Mechanism; 30June2023.pdf](#)
 1. ESMA - [Final Report Intra-day Volatility Management Mechanism](#);
 - ii. [PDF ACER Warns Against Repeat of Emergency Energy Measures; 14July2023.pdf](#)
 - iii. Collaboration with ENMACC on ETRM Data Standardisation for Automated Credit Modules
 - iv. Changes/merger to Belgian Zeebrugge and ZTP gas hubs on October 1, 2023 [EFET / Fluxys]
 - d. **Prudential**
 - i. [PDF EVIA Note: Pay & purpose - getting remuneration and culture right under FCA Supervision; 19July2023.pdf](#)
 - e. **Other**
 - i. [PDF ClarusFT; Even More on Blocks and new rules for FX; Chris Barnes; 26July2023.pdf](#)
 - ii. [PDF GMACSlides071723.pdf](#)
 - iii. [PDF FCM and IB Members—FinCEN updates its list of FATF-identified jurisdictions with AML-CFT deficiencies; July 10, 2023.pdf](#)
 - iv.
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Annexes, Links and Details

4. Sanctions

- a. [OFSI amends General Guidance](#); *Amendment to General Guidance Section 6.12*; On 26 July 2023 OFSI amended Section 6.12 of the General Guidance relating to options available following a rejected licence application. The amendment removes the option to request from OFSI a review of its decision.
- b. [EU Consolidated Sanctions List](#):

5. Latest FCA & BOE Policy Development updates

- a. [PDF European, UK & Swiss Regulatory & Political News; Week 30; 24th July 2023 to 29th July 2023.pdf](#)
- b. [PDF European, UK & Swiss Regulatory & Political News; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)

- c. [PDF European, UK & Swiss Regulatory & Political News; Week 28; 10th July 2023 to 15th July 2023.pdf](#)
- d. [PDF European, UK & Swiss Regulatory & Political News; Week 27; 03rd July 2023 to 08th July 2023.pdf](#)
- e. [PDF UK regulators publish summer update to Regulatory Initiatives Grid; 20July2023.pdf](#)
- f. [PDF ps23-11; 'Guidance on the trading venue perimeter'; 05July2023.pdf](#) & [PDF Note on FCA PS23_11 'Guidance on the trading venue perimeter'; 05July2023.pdf](#)
- g. [PDF cp23-15; proposed framework for establishing a consolidated tape \(CT\) in the UK; 05July2023.pdf](#)
- h. [PDF FCA announces further wholesale markets reforms; On 7 July 2023, the text of Financial Services and Markets Act was published.pdf](#)
- i. [PDF TACC minutes 2306.pdf](#)
- j. [PDF FCA publishes engagement paper on primary MTFs; 13July2023.pdf](#) & [PDF primary-multilateral-trading-facilities-engagement-paper-6.pdf](#)
- k. [PDF FCA Market Watch 74; transaction reporting and the submission of financial instrument reference data; 25July2023.pdf](#) & [PDF FCA Market Watch 74 – Transaction Reporting Data Quality; 25July2023.pdf](#)
- l. [PDF POATRs timeline update June 2023.pdf](#)
- m. [PDF FCA publishes rule review framework; 14July2023.pdf](#)
- n. [PDF FCA publishes secondary international competitiveness and growth objective; 14July2023.pdf](#)
- o. [PDF ps23-10; FCA regulated fees and levies 2023-24; 05July2023.pdf](#)
- p. [PDF FCA Comms; The US dollar LIBOR panel has now ceased; 03July2023.pdf](#)
- q. [PDF FCA Letter to TVs wrt Cryptoasset intentions; 03July2023.pdf](#)
- r. [PDF FMSB Publishes Conduct Management Review; 30July2023.pdf](#) & [PDF FMSB-Conduct-and-Culture-MI-Report-July-24-2023.pdf](#)
- s. [PDF FCA Regulation Roundup; 29July2023.pdf](#)
- t. [PDF FCA publishes speech on its emerging regulatory approach to Big Tech and AI; 12July2023.pdf](#)
- u. [PDF FIX Org; Digital Assets Comm minutes; 19Jul2023.pdf](#)
- v. [W FIX Protocol Gap Analysis - UK transparency draft 2.docx](#)
- w. [PDF FCA announces launch of permanent Digital Sandbox; 21July2023.pdf](#) & [PDF HMT; CP; Digital Securities Sandbox; 18July2023.pdf](#)
- x. [PDF Minutes; ECB & BOE FX Standing Groups; 11July2023.pdf](#)
- y. [Our emerging regulatory approach to Big Tech and Artificial Intelligence: FCA Speech by Nikhil Rathi, at The Economist, London; 12July2023.pdf](#)
- z. [PDF UK FRF_WMR; FCA consults on consolidated tape, publishes trading venue perimeter guidance; 16July2023.pdf](#)
- aa. [PDF BoE; US Treasury basis trades threaten financial stability; 16July2023.pdf](#)
- bb. [PDF No easy answers for the Bank of England; Inflation must be conquered to regain public trust; 14July2023.pdf](#)
- cc. [PDF Towards an overhaul in Treasury-Bank of England relationship; 14July2023.pdf](#)
- dd. [PDF BoE publishes response to the Complaints Commissioner's Annual Report 2022_23; 14July2023.pdf](#)

- ee. [PDF BoE publishes Financial Stability Report; stress test of the UK banking system & countercyclical capital buffer; 12July2023.pdf](#)
- ff. [PDF PRA consults on Pillar 3 remuneration disclosure requirements; 31July2023.pdf](#)
- gg. [PDF Bank of England credibility depends on a framework with the Treasury; 29July2023.pdf](#)
- hh. [PDF On UK Inflation and BOE policy choices; 21July2023.pdf](#)
- ii. [Financial Resilience Reporting \(No 2\) Instrument 2023.](#)
- jj. [Technical Standards \(Electronic Reporting Format\) Instrument 2023.](#)
- kk. [Disclosure Guidance and Transparency Rules Sourcebook \(Electronic Reporting Format\) Instrument 2023.](#)
- ll. [Handbook Administration \(No 66\) Instrument 2023.](#)

6. UK Government

- a. [PDF NRF views & takeaways from Chancellor's Mansion House speech & HMT+FCA response to the UK Investment Research Review; 21July2023.pdf](#)
- b. [PDF CC; revoking-and-replacing-retained-eu-law-how-do-fsma-2023-and-the-reul-act-compare; 18July2023.pdf](#)
- c. [PDF A Smarter Regulatory Framework for financial services; 20July2023.pdf](#) & [PDF Building a Smarter Financial Services Regulatory Framework for the UK Plan for delivery.pdf](#)
- d. [PDF Mansion House Reforms aim to deliver a smarter regulatory framework; 11July2023.pdf](#) & [PDF Mansion House Speech; State of the sector; annual review of UK financial services 2023; 11July2023.pdf](#)
- e. [PDF CC; revoking-and-replacing-retained-eu-law-how-do-fsma-2023-and-the-reul-act-compare; 17Aug2023.pdf](#)
- f. [PDF CC; UK-financial-services-and-markets-act-2023; 20July2023.pdf](#)
- g. [PDF Paulina Dejmek Hack tells ECON that no determination has been made UK access to the bloc's markets; 20July2023 .pdf](#)
- h. [PDF HMT publishes outcome of Investment Research Review; 10July2023.pdf](#)
- i. [PDF HM Treasury publishes response to UK Short Selling Regulation call for evidence and launches further consultation; 11July2023.pdf](#)
- j. [PDF Note; Chancellor Jeremy Hunt's Mansion House speech; 10July2023.pdf](#)
- k. [PDF State of the sector annual review of UK financial services 2023.pdf](#)
- l. [PDF A&O consideration on Digital Assets - Law Commission Final Report published and other digital asset developments; 07July2023.pdf](#)
- m. [PDF Treasury Committee published government's response to Regulating Crypto report; 21July2023.pdf](#)
- n. [PDF HMT publishes outcome of Investment Research Review; 14July2023.pdf](#)
- o. [PDF HOUSE OF LORDS; European Affairs Committee; HL Paper 237; The Windsor Framework; 25July2023.pdf](#)
- p. [PDF UK pension funds lie subservient to political needs; 29July2023.pdf](#)
- q. [PDF Paper - Key challenges of US T+1 for Europe.pdf](#) & [Word T+1 Sub-Group Participants.docx](#)





















- r. [IPOL_STU\(2023\)740092_EN; Study into PFMI's under Brexit; 23July2023.pdf](#)

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

- a. [EVIA Prudential Roundup; Week 30; 24th July 2023 to 29th July 2023.pdf](#)
- b. [EVIA Prudential Roundup; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
- c. [EVIA Prudential Roundup; Week 28; 10th July 2023 to 15th July 2023.pdf](#)
- d. [EVIA Prudential Roundup; Week 27; 03rd July 2023 to 08th July 2023.pdf](#)
- e. [FSB Plenary meets in Frankfurt; 07July2023.pdf](#)
- f. [A&O consideration on Digital Assets - Law Commission Final Report published and other digital asset developments; 07July2023.pdf](#)
- g. [FSB publishes letter from Chair to G20 Finance Ministers and Central Bank Governors; 13July2023.pdf](#)
- h. [FSB 2023 progress report on the Roadmap for addressing climate-related financial risks; 13July2023.pdf](#)
- i. [BoE publishes Financial Stability Report; stress test of the UK banking system & countercyclical capital buffer; 12July2023.pdf](#)
- j. [The Basel III Endgame is on; Fed, FDIC, and the OCC released their long-awaited proposals; 28July2023.pdf](#)
- k. [Bank Underground; Convertible or not; making sense of stresses in AT1 bonds market; 28July2023.pdf](#)
- l. [UK pension funds lie subservient to political needs; 29July2023.pdf](#)
- m. [SEC finalizes cybersecurity disclosure rules; 28July2023.pdf](#)
- n. [CME Group and DTCC Propose Enhanced Cross-Margining Agreement; 21July2023.pdf](#)
- o. [EVIA Note; Pay & purpose - getting remuneration and culture right under FCA Supervision; 19July2023.pdf](#)
- p. [Billions in index CDSs remain at ICEU as clearing shutdown looms; 16July2023.pdf](#)
- q. [Model-Risk-Electronic-Trading-Algorithm_TRANSPARENCY-DRAFT.pdf](#)

8. EU Rules and ESAs

- a. [European, UK & Swiss Regulatory & Political News; Week 30; 24th July 2023 to 29th July 2023.pdf](#)
- b. [European, UK & Swiss Regulatory & Political News; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
- c. [European, UK & Swiss Regulatory & Political News; Week 28; 10th July 2023 to 15th July 2023.pdf](#)
- d. [European, UK & Swiss Regulatory & Political News; Week 27; 03rd July 2023 to 08th July 2023.pdf](#)
- e. [ESMA publishes data for quarterly bond liquidity assessment, the systematic internaliser calculations and the CTP calculations](#): published the new quarterly liquidity assessment of bonds

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- i. [The transparency requirements](#) for bonds deemed liquid today will apply from 21 August to 19 November 2023.
 - ii. [the data for the quarterly systematic internaliser](#) calculations for equity, equity-like instruments, bonds and for other non-equity instruments and the consolidated tape provider (CTP) under MiFID II and MiFIR.
 - iii. The full list of assessed bonds is now available through FITRS in the XML files with publication date from 1 August 2023 ([see here](#)) and through the Register web interface ([see here](#)).
 - iv. ESMA also publishes two [completeness indicators](#) related to bond liquidity data.
 - v. *The data covers the total number of trades and total volume over the period 1 January 2023 to 30 June 2023 and includes:*
 - vi. 25,015 equity and equity-like instruments; 131,849 bonds; and 5,874 sub-classes of derivatives (including equity derivatives, interest rate derivatives, commodity derivatives, emission allowance).
 - vii. Investment firms are required to perform the SI test by 15 August 2023.
 - f.  [2021 European Cross-border access regimes.xlsx](#)
 - g.  [AFME Comments on the MiFIR Trilogue Outcomes; 03July2023.pdf](#)
 - h.  [benchmarks-delegated-act-2023-4849-report_en.pdf](#) &  [EU Commission extends the transition period for third country benchmarks; 14July2023.pdf](#)
 - i. [EU Commission adopts European Sustainability Reporting Standards; On 31 July 2023](#)
 - j.  [EBA publishes fourth opinion on money laundering and terrorist financing risks across the EU; 13July2023.pdf](#)
 - k.  [ECB Note on the GFXC_Key_Takeaways; 22June2023.pdf](#)
 - l.  [ECBFXCG; summary_2023-06-22.pdf](#)
 - m.  [EMIR3; Template for 4.6-4.10 Reporting of lifecycle events vs business events; 16July2023.xlsx](#)
 - n.  [ESMA final report on revised technical standards for passporting; 13July2023.pdf](#)
 - o.  [ESMA follow-up report to the peer review on certain aspects of the compliance function under MiFID I; 13July2023.pdf](#)
 - p.  [ESMA has launched a consultation on the first package of technical standards under MiCA; 20July2023.pdf](#)
 - q.  [ESMA Manual on post-trade transparency; 11July2023.pdf](#)
 - r.  [ESMA publishes report on sanctions and measures imposed under MiFID II in 2022; 08July2023.pdf](#)
 - s.  [ESMA publishes report on the call for evidence on pre-hedging; 12July2023.pdf](#)
 - t.  [ESMA report on STORs; 17July2023.pdf](#) &  [ESMA74-1103241886-880_ESMA_Report_on_STORs_2023.pdf](#)
 - u.  [ESMA Wendt's Speech Developments in European Commodity Derivatives; 08July2023.pdf](#) &  [ESMA71-545613100-2341_FIA_Speech_Froukelien_Wendt_29_June_2023\(1\).pdf](#)
 - v.  [EU Commission extends the transition period for third country benchmarks; 14July2023.pdf](#)
 - w.  [Inclusion of the United Arab Emirates on AML blacklist requires ESMA to withdraw the recognition decisions of three CCPs; 25July2023.pdf](#)

- x. [IPOL_STU\(2023\)740092_EN; Study into PFMI's under Brexit; 23July2023.pdf](#)
- y. [It's time to get creative on Ukraine's debt; Public and private sector lenders must work together; 14July2023.pdf](#)
- z. [MiFID3 Re-bundling the Unbundling; Research U-turn is poor fix for vanishing stocks; 19July2023.pdf](#)
- aa. [MiFID3; EU bows to exchanges' fears with stock trading plan; 01July2023.pdf](#)
- bb. [MIFIR 4CT - 30.06.2023.pdf](#) & [MiFID 4CT - 30.06.2026.pdf](#)
- cc. [MiFIR MiFID 3rd political trilogue 29.06.2023 - Flash note.pdf](#)
- dd. [MiFIR2 & MiFID3 Technical Trilogue related work will continue under the ES Presidency; 03July2023 .pdf](#)
- ee. [MMT_v4.1_17-Jul-2023a_Draft.xlsx](#) & [Post Trade Transparency Recommended Practices July 23 v0.3.docx](#)
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- gg. [On the ESMA Guidance around pre-hedging; 21July2023.pdf](#)
- hh. [On the International Role for the Euro; Presentation by ECB DG International and European Relations; 22June2023.pdf](#)
- ii. [Paper - Key challenges of US T+1 for Europe \(3rd Draft\) Clean.docx](#)
- jj. [Paulina Dejmek Hack tells ECON that no determination has been made UK access to the bloc's markets; 20July2023 .pdf](#)
- kk. [Spain thrown into political limbo by inconclusive election result; 22July2023.pdf](#)
- ll. [Paper - Key challenges of US T+1 for Europe \(5th Draft\) CLEAN \(002\).pdf](#)
- mm. ESMA [Manual on post-trade transparency \[esma.europa.eu\]](#).

9. Conduct/ Enforcement/ PFOF

- a. [Conduct, Sanctions and Enforcement News; Week 30; 24th July 2023 to 29th July 2023.pdf](#)
- b. [Conduct, Sanctions and Enforcement News; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
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- i. [EMIR3; Template for 4.6-4.10 Reporting of lifecycle events vs business events; 16July2023.xlsx](#) & [EMIR-EU and UK reporting Industry-Best-Practices-matrix_2023 April_edits highlighted.xlsx](#)

- j. [PDF](#) [EVIA Note: Pay & purpose - getting remuneration and culture right under FCA Supervision; 19July2023.pdf](#)
- k. [PDF](#) [Execution Transparency Working Group - Meeting July 2023.pptx](#)
- l. [PDF](#) [FCA Cum-ex Fine; bastion-capital-london-ltd-2023; 15July2023.pdf](#) & [PDF](#) [bastion-capital-london-ltd-2023.pdf](#)
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- p. [PDF](#) [FCA publishes results of multi-firm review of liquidity management in funds; 07July2023.pdf](#)
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- s. [PDF](#) [ICE; Market_Regulation_Bulletin; 20July2023.pdf](#)
- t. [PDF](#) [ICMA identifies 58 solutions for electronic trading in fixed income markets; 28July2023.pdf](#)
- u. [PDF](#) [Mark Johnson Seeks to Have Conviction Overturned; 30July2023.pdf](#)
- v. [PDF](#) [Notes from the DTCC weekly NOA UPL UTI WG Call; 19July2023.pdf](#)
- w. [PDF](#) [Paper - Key challenges of US T+1 for Europe.pdf](#)
- x. [PDF](#) [REMIT Fines in July 2023; 28July2023.pdf](#)
- y. [PDF](#) [Revised CDE Technical Guidance – version 3; roc_20220829.pdf](#)
- z. [PDF](#) [UnaVista becomes Regulatory Reporting.pdf](#)

10. Cybercrime/ AML/ KYC/ Reg Tech

- a. [PDF](#) [JMLSG – JMLSG consultation – cryptoasset transfers; 31July2023.pdf](#)
- b. [PDF](#) [MAS guidance on effective use of data analytics to detect & mitigate AML_CTF risks from misuse of legal persons; 16July2023.pdf](#)
- c. [PDF](#) [FCM and IB Members–FinCEN updates its list of FATF-identified jurisdictions with AML-CFT deficiencies; July 10, 2023.pdf](#)
- d. [PDF](#) [Inclusion of the United Arab Emirates on AML blacklist requires ESMA to withdraw the recognition decisions of three CCPs; 25July2023.pdf](#)
- e. [PDF](#) [July Changes to high-risk third countries in MLRs; 07July2023.pdf](#)
- f. [PDF](#) [Failure to prevent money laundering; a proposed new offence; 06July2023.pdf](#)
- g. [PDF](#) [EBA publishes fourth opinion on money laundering and terrorist financing risks across the EU; 13July2023.pdf](#)
- h. [PDF](#) [Proposed enhancements to corporate reporting obligations; material fraud reporting; 21July2023.pdf](#)
- i. [PDF](#) [Merrill Lynch Fined by SEC for Failure to File SARs; 16July2023.pdf](#)

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- a. [PDF FSB 2023 progress report on the Roadmap for addressing climate-related financial risks; 13July2023.pdf](#)
- b. [PDF IOSCO reports on compliance carbon markets; 28July2023.pdf](#)
- c. [PDF Summer review of ESG news, events & trends; 21July2023.pdf](#)
- d. [PDF ISDA publishes a new framework for trading book climate scenario analysis; 16July2023.pdf](#)
- e. [PDF IOSCO reports on compliance carbon markets; 28July2023.pdf](#)
- f. [EU Commission adopts European Sustainability Reporting Standards; On 31 July 2023,](#)

12. Energy & ACER

- a. [PDF LEBA_Energy_Analysis_June_2023.pdf](#) & [PDF LEBA_Energy_Volume_Report_June_2023.pdf](#)
- b. [PDF Energy and Commodities Roundup; Week 30; 24th July 2023 to 29th July 2023.pdf](#)
- c. [PDF Energy and Commodities Roundup; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
- d. [PDF Energy and Commodities Roundup; Week 28; 10th July 2023 to 15th July 2023.pdf](#)
- e. [PDF Energy and Commodities Roundup; Week 27; 03rd July 2023 to 08th July 2023.pdf](#)
- f. [PDF On Commodity Derivatives under MiFID3 Technical Trilogues; 03July2023.pdf](#)
- g. [PDF PM Data and Transparency_FMSB Spotlight Review 30062023_to PMWG \(002\).pdf](#)
- h. [PDF CEPS-Explainer-2023-10_EU-Electricity-Market-Design-Reform-.pdf](#)
- i. [PDF Helm Talks; Podcast 43; 3rd July 2023; Beggars can't be choosers; 07July2023.pdf](#)
- j. [PDF ACER Warns Against Repeat of Emergency Energy Measures; 14July2023.pdf](#)
- k. [PDF European gas security rests on a fragile balance; 14July2023.pdf](#)
- l. [PDF REMIT Fines in July 2023; 28July2023.pdf](#)
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- o. [PDF ACER; REMIT breach; Hungarian regulator fines Prvo Plinarsko Društvo d.o.o. for market manipulation; 15July2023.pdf](#)

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- b. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
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- d. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 27; 03rd July 2023 to 08th July 2023.pdf](#)
- e. [PDF](#) [ClarusFT; FSB Paper on Liquidity in Core Government Bond Markets; Amir Khwaja; 26July2023.pdf](#)
- f. [PDF](#) [ps23-11; 'Guidance on the trading venue perimeter'; 05July2023.pdf](#) & [PDF](#) [Note on FCA PS23_11 'Guidance on the trading venue perimeter'; 05July2023.pdf](#)
- g. [PDF](#) [cp23-15; proposed framework for establishing a consolidated tape \(CT\) in the UK; 05July2023.pdf](#)
- h. [PDF](#) [On Commodity Derivatives under MiFID3 Technical Trilogues; 03July2023.pdf](#)
- i. [PDF](#) [ClarusFT; Bollinger, Greenspan and The Millennium Bug; LIBOR Is Now Dead; Chris Barnes; 07July2023.pdf](#)
- j. [PDF](#) [ClarusFT; 2023 CCP Volumes and Share in IRD; Amir Khwaja; 07July2023.pdf](#)
- k. [Word](#) [Post Trade Transparency Recommended Practices May 23 v0.2.docx](#)
- l. [PDF](#) [Tradeweb monthly data report jun23; total trading volume of \\$29.3 trillion and average daily volume of \\$1.38 trillion.pdf](#)
- m. [PDF](#) [FX Platform Volume Reports for June 2023.pdf](#)
- n. [PDF](#) [Anna-DSB OTC ISIN service continuity with the introduction of the UPI Service; 05July2023.pdf](#)
- o. [Word](#) [Paper - Key challenges of US T+1 for Europe \(3rd Draft\) Clean.docx](#) & [PDF](#) [EU T+1 Sub-Group structure and questions \(002\).pdf](#) & [PDF](#) [European T+1 Task Force - Terms of Reference - v3.pdf](#)
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- kk. [ClarusFT; We Need to Talk About the Clarus API; Chris Barnes; 12 July 2023.pdf](#)
- ll. [BoE; US Treasury basis trades threaten financial stability; 16July2023.pdf](#)
- mm. [FMSB; SoGP for the application of a model risk management framework to electronic trading algorithms; 20July2023.pdf](#)
- nn. [CME Group and DTCC Propose Enhanced Cross-Margining Agreement; 21July2023.pdf](#)
- oo. [Tradeweb treads fine line as API trend brings challenges; 21July2023.pdf](#)
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- rr. [EVIA Note; JTAG Call on Wholesale Markets, MiFIR, UK Rules, CMU and related issues; 18July2023.pdf](#)
- ss. [ClarusFT; 2Q23 CCP Volumes and Share in IRD; Amir Khwaja; 07July2023.pdf](#)

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- b. [Market Regs, Post Trading and Benchmarks News & Events; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
- c. [Market Regs, Post Trading and Benchmarks News & Events; Week 28; 10th July 2023 to 15th July 2023.pdf](#)
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- k. [PDF](#) [Term €STR; Use of OIS transaction prices reflects data-sufficiency worries and euro-market desire for T+1 publication; 20July2023.pdf](#)
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- b. [PDF](#) [Rates, FX, Credit and Equities Markets; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
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- n. [PDF](#) [Banks Back in the FX Legal Firing Line; 29July2023.pdf](#)
- o. [PDF](#) [Lower FX Volatility Brings Improved Market Conditions in Q2; BofA; 30July2023.pdf](#)
- p. [PDF](#) [Paper - Key challenges of US T+1 for Europe.pdf](#)
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- b. [PDF](#) [FinTech, SupTech & RegTech News; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
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- j. [PDF](#) [CBDC; Project Polaris, from the BIS Innovation Hub Nordic Centre; 07July2023.pdf](#)
- k. [PDF](#) [OMFIF; RLN proves it's possible to achieve instant dollar settlement legally; 07July2023.pdf](#)
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- b. [PDF](#) [US and Asia Regulatory News; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
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- q. [PDF](#) [ClarusFT; New Block Trading Rules Will Now Start in December 2023; Chris Barnes; 19July2023.pdf](#)
- r. [PDF](#) [Isaac Newton to AI; SEC Chair Gensler Identifies New Challenges and Risks Raised by AI; 20July2023.pdf](#)
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- [PDF](#) [Open Consultations & Legislative Timetables; 17 July 2023.pdf](#)
- [FCA CP23/15: The Framework for a UK Consolidated Tape \[PDF\]](#)
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18. Weekly Roundups for July 2023

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- b. [PDF](#) [EVIA Weekly News; Week 29; 17th July 2023 to 22nd July 2023.pdf](#)
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