

EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 05th April 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]

1. Matters arising

- a. Member Comments
- b. Credit Suisse/ UBS / SVB Bank

2. Standing Items

- a. [PDF](#) [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 05th April 2023.pdf](#)
- b. [PDF](#) [Updated-OTC-Derivatives-Compliance-Calendar-2023-4-1.pdf](#)
- c. [PDF](#) [FCA Regulation round-up March 2023.pdf](#)
- d. [Open Consultations & Legislative Timetables; 27 February 2023.pdf](#)
- e. **Conduct**
 - i. FCA [Dear CEO Letter](#) – EVIA Roundtable with FCA Readout & Next Steps
 1. PFOF
 2. Aged Brokerage
 - ii. SMCR Review; [PDF](#) [PRA & FCA; Senior Managers & Certification Regime – a Call for Evidence; 31 March 2023; 22 Questions; Closes 01June2023.pdf](#)
 1. [Notes from S&S “Flash Call on UK SMCR Review; 03 April 2023.pdf](#)
 - a. Competition
 - b. Proportionality
 - c. Scope Creep and actual deliverables
 - d. Clarity, Gaps, Technical
 2. Regulatory References
 3. 12 Week Rule
 4. Impact of Overseas Staff
 - iii. [PDF](#) [Meeting note of JTAG Initial Meeting for a T+1 European Taskforce; 30March2023.pdf](#)
 1. [PDF](#) [AFME; European T1 Taskforce first meeting last Thursday](#)
 2. [Opportunities within the Countdown to T+1; 14March2023.pdf](#)
 3. [PDF](#) [European banks explore shift to single-day trade settlement; 03Mar2023.pdf](#)
 4. [PDF](#) [EVIA Note on SEC Adoption of T+1 Settlement Cycle and Related Changes; 15February2023.pdf](#)
 5. [To CBDC or not to CBDC; The BOE consultation on a digital pound; 21Mar2023](#) [PDF](#) [Notes from FCA O1 2023 TACC Meeting; 23Mar2023.pdf](#) & [PDF](#) [TACC UK Short Selling Regime Review March 2023.pdf](#)
 - iv. [PDF](#) [Release Number 8683-23; CFTC Staff Issues No-Action Letter Regarding the Migration of Credit Default Swaps from ICE Clear Europe Ltd; 23-05;](#)

[30March2023.pdf](#) & [ESMA156-](#)

[6473_Statement_on_the_DTO_and_CDS_clearing.pdf](#)

- v. [FSB Work Programme for 2023](#); Annual work programme and publication timetable for the FSB; [EVIA Summary Note](#); [FSB Work Programme for 2023](#); [Annual work programme and publication timetable for the FSB](#); [31March2023.pdf](#)
- vi. [NFA Decision Notices GMB Brokers](#); [Decision_\(WO_AFFD\)_Jason_Terence_Lyons_2023_0228.pdf](#)
- vii. [EVIA Note](#); [FCA Market Trade Data Review & FCA forward plans](#); [02Mar2023 \(1\).pdf](#)
 - 1. [wholesale-trade-data-review-findings-report.pdf](#)
 - 2. [ToRs for the new FCA Wholesale Data Market Study alongside the CMA](#); [02March2023](#); [ms23-1-2.pdf](#)
- viii. [The FCA has appointed Therese Chambers & Steve Smart as joint Executive Directors of Enforcement and Market Oversight](#); [23Mar2023.pdf](#)
- ix. [Update on FCA Authorisations operating service metrics](#); [22Mar2023.pdf](#)
- x. [HM Treasury publishes policy paper on the Investment Research Review](#); [09Mar2023.pdf](#) & [HM Treasury Call for Evidence on the UK Investment Research Review](#); [03April2023 - Copy.pdf](#)
- xi. ION Outage
- xii. [AFM; DORA Impact on Trading Platforms; incident-management-capital-markets](#); [01Mar2023.pdf](#)
- xiii. [Hybrid working; building a compliance culture](#); [31March2023.pdf](#)

f. Rule Books

- i. [ESMA publishes the results of the annual transparency calculations for equity and equity-like instruments applicable 01st April 2023](#).pdf
- ii. Mutual Recognition
- iii. [AFM; market-watch-8-algorithme-handel](#); [15Mar2023.pdf](#) & [Note on AFM publishing Market Watch #8 on Algorithmic Trading](#); [15Mar2023.pdf](#)
- iv. UK Financial Services Bill - [FCA FRF Webinar last week](#) [HMT's Griffiths, UK to align new financial rules with EU, US](#); [10Mar2023.pdf](#)
 - a. Wholesale Data
 - b. UK CTP in June
 - c. Transparency
- v. EU MiFIR2 & CTP
 - 1. [February 2023 SEF Tracker](#); [04April2023](#)
 - 2. [Global Regulatory Brief; Markets, Risk & Stability; Green, Digital; April edition](#).pdf
 - 3. [MiFID3, MiFIR2 pre-trilogue comparison](#); [23Mar2023.pdf](#)
 - a. [MiFIR; EC ECON Report](#); [02Mar2023](#); [A-9-2023-0040_EN.pdf](#) & [COM_COM20210727_EN.pdf](#) & [MiFID II review EP position](#); [03Mar2023.pdf](#)
 - 4. [Identifiable position reporting to crimp CDS liquidity, say traders](#); [31 March 2023](#).pdf & [derivatiViews; Transparency in CDS](#); [SDA CEO Scott O'Malia](#); [30March2023.pdf](#)
 - 5. CSDR Trilogues; [CSDR EP ECON Final Report](#); [A-9-2023-0047_EN](#); [06Mar2023.pdf](#) / [Inclusion of MPT](#)

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- a. [PDF](#) [EBS reduces last look threshold to 30 milliseconds from 200ms & requires-FX Global Code compliant liquidity providers; 08March2023.pdf](#)
 - 5. [DTCC Call Readout](#): SEF Reporting under P43 / P45 – especially dealer queries on FX
 - ix. [PDF](#) [State of Play in EMIR 3.0 & UK EMIR; All about implementing TS; CSDR, DORA and SFDR in March 2023; 31March2023.pdf](#)
 - g. **Reporting Topics and Queries**
 - i. [EVIA Response to ESMA CP 70-156-6307 on a Manual for post-trade transparency; 31March2023.pdf](#)
 - ii. Report Tracking Number versus UTI
 - iii. [PDF](#) [ANNA-DSB Indicative UPI User Fees; 10Mar2023 .pdf](#)
 - iv. UTI Roundtable
 - 1. [Global UTI; Third JTAG meeting on UTI progress, implementation, and utility. The second call notes here.](#) Focused on UTI waterfall for non-venue trades. First call was a scoping and Tor's discussion. Clearly relates to the process of the weekly DTCC call on CFTC reporting implementation.
 - v. FX Spot and Swaps (again)
 - vi. [PDF](#) [BOE, FCA; transforming-data-collection-communication-to-firms-23-march-2023.pdf](#); *On 24 March 2023, the Bank of England and the FCA issued a [communication](#) on their joint programme to transform data collection from the UK financial sector. The communication provides an update on the programme including - Details about a Town Hall event taking place on Wednesday 29 March.*
 - h. **Exchange Blocks**
 - i. [PDF](#) [ICE Futures Europe; Circular 23_058; Update to the ICE Futures Europe Block Trades and Asset Allocations Policy; 31March2023.pdf](#)
 - ii. [PDF](#) [ICE Futures Europe; Block Trades and Asset Allocations Policy; March 2023.pdf](#)
 - iii. [IFEU Circular 23_058; ICE Futures Europe Block Trades and Asset Allocations Policy; 30March2023.pdf](#)
 - iv. [PDF](#) [ICE Europe Block Trades Revisions; 28 March 2023; 02_00_Table_of_Contents.pdf](#)
 - i. **Prudential**
 - i. [PDF](#) [Bovill Briefings - IFPR one year on - Strengthening your ICARA \(Mar 23\).pdf](#)
 - ii. [PDF](#) [ICARAs; General FCA feedback; 30March2023 .pdf](#)
 - iii. [PDF](#) [IFPR implementation observations; quantifying threshold requirements and managing financial resources; 27Feb2023.pdf](#) & [FCA publishes observations on Investment Firms Prudential Regime implementation; 10Mar2023](#)
 - j. **Energy and Commodities**
 - i. [European Commission proposes amendments to REMIT; 16March2023.pdf](#)
 - ii. [PDF](#) [ACER FinalReport on the MCM; 01Mar2023.pdf](#) & [PDF](#) [MCM_EWP_30032023; ACER PPT at the Energy Working Party meeting, Brussels; 30 March 2023.pdf](#)

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- iii. [PDF](#) [LME; Nickel Reform; Strengthening the Market - Infographic; 30Mar2023.pdf](#) & [PDF](#) [LME Group announces plan to strengthen its markets; 31March2023.pdf](#)
 - 1. [PDF](#) [BoE & the FCA announced further actions being taken by them in connection with the LME's temporary suspension of nickel trading in March 2022.pdf](#)
 - iv. [PDF](#) [The UK Designated Activities Regime; note on what is it and how will it impact firms; 23Mar2023.pdf](#)

k. Post Trade

- i. FCA to set up an industry advisory committee for EMIR Reporting
- ii. ISINs or UPI for UK MiFIR and EMIR?

l. Other

- i. Apprenticeships and Tax under UK Budget Announcements
- ii. [PDF](#) [The UK updates its sanctions guidance on "ownership and control" and sets out its due diligence expectations; 31March2023.pdf](#) & [PDF](#) [UK OFSI; 16 March 2023 Monetary Penalty and Enforcement Guidance.pdf](#)
- iii. [Denmark Gets Boost In Tax Fraud Case On Preliminary Issues & German Officials Under Fire Over Pace Of Cum-Ex Pursuit](#); & [PDF](#) [FT](#); [French prosecutors raid banks in tax fraud probe; 29Mar2023.pdf](#)
- iv. [PDF](#) [UK Government published the Economic Crime Plan 2 for 2023- 2026; 31Mar2023.pdf](#)
- v. [New EU measures against money laundering and terrorist financing; On 28 March 2023, the European Parliament *announced* that MEPs have approved stricter rules to close existing gaps in combatting money laundering, terrorist financing and evasion of sanctions in the EU.](#)
- vi. [BoE publishes thematic findings from the 2022 cyber stress test](#)
- vii. [PDF](#) [China makes sweeping reform to financial sector regulation; CSRC proposes position limits, reporting rules; 31 March 2023.pdf](#) & [PDF](#) [China makes sweeping reform to financial sector regulation; OMFIF; 31March2023.pdf](#) & [PDF](#) [Note; China Plans to Create Vast New Financial Regulator – State Council Conclusions; 10Mar2023.pdf](#)
- viii. [FIA BOCA 2023 Notes; 16mar2023.pdf](#)

Annexes, Links and Details

3. Sanctions

- a. [PDF](#) [The UK updates its sanctions guidance on "ownership and control" and sets out its due diligence expectations; 31March2023.pdf](#)
- b. [PDF](#) [UK OFSI; 16 March 2023 Monetary Penalty and Enforcement Guidance.pdf](#)
- c. [OFSI & FCA; Slides; OPC Industry Teach-in; 13March2023.pdf](#)
- d. [PDF](#) [Conduct, Sanctions and Enforcement News; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)

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- e. [PDF Conduct, Sanctions and Enforcement News; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- f. [Conduct, Sanctions and Enforcement News; Week 11; 13th March 2023 to 17th March 2023 .pdf](#)
- g. [PDF Conduct, Sanctions and Enforcement News; Week 12; 20th March 2023 to 25th March 2023.pdf](#)
- h. [PDF Conduct, Sanctions and Enforcement News; Week 13; 27th March 2023 to 01st April 2023 .pdf](#)
- i. [Russia: Trust services sanctions; All persons designated under the *Russia financial sanctions regime* have been designated for the purpose of trust services sanctions. On 21 March 2023 the Foreign, Commonwealth and Development Office updated the *UK Sanctions List* on GOV.UK. This list provides details of those designated under regulations made under the Sanctions Act.](#)
- [Russia: Trust services sanctions teach-in](#) On 21 March 2023, the Office of Financial Sanctions Implementation (OFSI) provided an update on the trust services sanctions as set out in [Regulation 18C of the Russia \(Sanctions\) \(EU Exit\) Regulations 2019](#) where persons were designated under Regulation 18C. OFSI has issued a [blog](#) which sets out the detail on trust services sanctions.
- j. [The European Central Bank is pressing Raiffeisen Bank International to unwind its highly profitable business in Russia, people with knowledge of the matter told Reuters. The push is upping the stakes for Austria and its second-biggest bank.](#)
- k. [An investigation exposed that Russian oil has an open *back door* into Europe. A series of *middlemen* have been re-routing Russian oil through different neutral jurisdictions until it is sold in Europe without the Russian label, politicians and industry insiders claim.](#)

4. Latest FCA & BOE Policy Development updates

- a. [PDF andrew-hauser-opening-remarks-at-university-of-chicago-booth-school-of-business-workshop.pdf](#) & [PDF andrew-hauser-speech-slides-on-markets-dysfunction.pdf](#)
- b. [PDF ANNA-DSB Indicative UPI User Fees; 10Mar2023 .pdf](#)
- c. [PDF BoE & the FCA announced further actions being taken by them in connection with the LME's temporary suspension of nickel trading in March 2022.pdf](#)
- d. [PDF BOE, FCA; transforming-data-collection-communication-to-firms-23-march-2023.pdf](#)
- e. [PDF BOE-statement-uk-creditor-hierarchy; 20March2023.pdf](#)
- f. [PDF Effective bank regulation should be seen as a Brexit dividend; 30Mar2023.pdf](#)
- g. [PDF EVIA Note; FCA Market Trade Data Review & FCA forward plans; 02Mar2023.pdf](#) & [PDF wholesale-trade-data-review-findings-report.pdf](#) & [PDF ToRs for the new FCA Wholesale Data Market Study alongside the CMA; 02March2023; ms23-1-2.pdf](#)
- h. [PDF FCA 5 month delayed update to the UK Regulatory Initiatives Grid; 28Feb2023.pdf](#) & [PDF regulatory-initiatives-grid-feb-2023.pdf](#)
- i. [PDF FCA Consultation responses call for improvements to proposed sustainability labels; 20Feb2023.pdf](#)
- j. [PDF FCA Fast-growing firms multi-firm review; 10March2023.pdf](#)

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- k. [PDF](#) [FCA Handbook 108; Market Data Infrastructure Supervision \(MDIS\); 30Mar2023.pdf](#)
 - l. [PDF](#) [FCA offers tips for crypto registration as it continues to show teeth; 25Feb2023.pdf](#)
 - m. [PDF](#) [The FCA has appointed Therese Chambers & Steve Smart as joint Executive Directors of Enforcement and Market Oversight; 23Mar2023.pdf](#)
 - n. [PDF](#) [FCA publishes IFPR implementation observations; quantifying threshold requirements and managing financial resources; 03Mar2023.pdf](#)
 - o. [PDF](#) [FCA Technical Standards \(MiFIR\) \(Derivatives Trading Obligation\) Instrument 2023; 30Mar2023.pdf](#)
 - p. [PDF](#) [Key-facts-about-UK-based-financial-and-related-professional-services-2023; CityUK Report; 28March2023.pdf](#)
 - q. [PDF](#) [Notes from FCA Q1 2023 TACC Meeting; 23Mar2023.pdf](#) & [PDF](#) [TACC UK Short Selling Regime Review March 2023.pdf](#)
 - r. [PDF](#) [Notes from JTAG Call on UTI progress, implementation and utility; 23March2023.pdf](#)
 - s. [PDF](#) [Notes from the FCA Webinar; "Implementing the outcomes of the FRF Review"; 23March2023.pdf](#)
 - t. [PDF](#) [On 24 February 2023, the FCA published Handbook Notice 107; 28Feb2023.pdf](#)
 - u. [PDF](#) [PRA; DP1_23; Review of the Senior Managers and Certification Regime \(SM&CR\); 31Mar2023.pdf](#)
 - v. [PDF](#) [PRA; DP1_23; Review of the Senior Managers and Certification Regime \(SM&CR\); 31Mar2023.pdf](#)
 - w. [PDF](#) [Proposed new UK regime puts Crypto firms put on notice; 30Mar2023.pdf](#)
 - x. [PDF](#) [Silicon Valley Bank UK; the regulatory tools in play; 31Mar2023.pdf](#)
 - y. [PDF](#) [The UK updates its sanctions guidance on "ownership and control" and sets out its due diligence expectations; 31March2023.pdf](#)
 - z. [PDF](#) [UK FMI Sandbox - AFME Briefing Note_HSF and Call Comments 16.03.23.pdf](#)
 - aa. [BOE-statement-uk-creditor-hierarchy; 20March2023.pdf](#)

5. UK Government

- a. [PDF](#) [European & UK Regulatory & Political News; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF](#) [UK & European Regulatory & Political News; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- c. [European & UK Regulatory & Political News; Week 11; 13th March 2023 to 17th March 2023 .pdf](#)
- d. [PDF](#) [UK & European Regulatory & Political News; Week 12; 20th March 2023 to 25th March 2023 .pdf](#)
- e. [PDF](#) [UK & Europe; Regulatory & Political News; Week 13; 27th March 2023 to 01st April 2023.pdf](#)
- f. [PDF](#) [Andrew Griffith, City Minister wants the City to develop a philosophy of risk & to not beat up about the failures along the way; 28Feb2023.pdf](#)
- g. [PDF](#) [CER; REUL in the Context of the Winsor Framework; 30.3.23.pdf](#)

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- h. [PDF](#) [HM Treasury publishes policy paper on the Investment Research Review; 09Mar2023.pdf](#)
 - i. [PDF](#) [HMT's Griffiths, UK to align new financial rules with EU, US; 10Mar2023.pdf](#)
 - j. [PDF](#) [House of Lords concluded its FSMB scrutiny; 25Mar2023.pdf](#)
 - k. [PDF](#) [Is the UK being held to ransom in the power market; FT; 28Mar2023.pdf](#)
 - l. [PDF](#) [Joint HM Treasury and FCA statement on the criminal market abuse regime; 25Mar2023.pdf](#)
 - m. [PDF](#) [Note on HMT crypto proposals – practical discussion on next steps for firms and TAs; 25Feb2023.pdf](#)
 - n. [PDF](#) [The UK Designated Activities Regime; note on what is it and how will it impact firms; 23Mar2023.pdf](#)
 - o. [PDF](#) [UK Government published the Economic Crime Plan 2 for 2023- 2026; 31Mar2023.pdf](#)
 - p. [PDF](#) [UK HMT draft of FSMA 2000 \(Commodity Derivatives and Emission Allowances\) Order 2023; 31Mar2023.pdf](#)
 - q. [PDF](#) [UK; HM 2023 Green Finance Strategy; HMT consults on regime for ESG ratings providers; FCA updates on its SDR an labels CP; 31 March 2023.pdf](#)
 - r. [CBDC; UK House of Commons Library has published a report on digital pound; 15Mar2023.pdf](#)

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

- a. [PDF](#) [EVIA Prudential Roundup; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF](#) [EVIA Prudential Roundup; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- c. [EVIA Prudential Roundup; Week 11; 13th March 2023 to 17th March 2023 .pdf](#)
- d. [PDF](#) [EVIA Prudential Roundup; Week 12; 20th March 2023 to 25th March 2023.pdf](#)
- e. [PDF](#) [EVIA Prudential Roundup; Week 13; 27th March 2023 to 01st April 2023 .pdf](#)
- f. [PDF](#) [BOE; Does the bonus cap work – in theory – in practice; 03Feb2023.pdf](#)
- g. [PDF](#) [BOE-statement-uk-creditor-hierarchy; 20March2023.pdf](#)
- h. [PDF](#) [Bovill Briefings - IFPR one year on - Strengthening your ICARA \(Mar 23\).pdf](#)
- i. [PDF](#) [ClarusFT; UBS, CS CDS Blog; 22Mar2023.pdf](#)
- j. [PDF](#) [Deutsche Bank Credit Default Swaps; Amir Khwaja; March 29, 2023.pdf](#)
- k. [PDF](#) [Effective bank regulation should be seen as a Brexit dividend; 30Mar2023.pdf](#)
- l. [PDF](#) [FCA publishes IFPR implementation observations: quantifying threshold requirements and managing financial resources; 03Mar2023.pdf](#)
- m. [PDF](#) [How Finma milked Credit Suisse's CoCos to close UBS deal; 21Mar2023.pdf](#)
- n. [PDF](#) [ICARAs; General FCA feedback; 30March2023 .pdf](#)
- o. [PDF](#) [IFPR implementation observations: quantifying threshold requirements and managing financial resources; 27Feb2023.pdf](#)
- p. [PDF](#) [Operational Resilience; The Evolving Regulatory and Capital Markets Industry Dynamics; 27Mar2023.pdf](#)
- q. [PDF](#) [PRA; DP1_23; Review of the Senior Managers and Certification Regime \(SM&CR\); 31Mar2023.pdf](#)
- r. [PDF](#) [President Biden Urges Congress to Hold Bank Executives Accountable for Mismanagement; 19Mar2023 .pdf](#)

- s. [PDF](#) [PWC Take; 24Mar2023;Bank stress - markets react and policymakers take action.pdf](#)
- t. [PDF](#) [Silicon Valley Bank UK; the regulatory tools in play; 31Mar2023.pdf](#)
- u. [PDF](#) [RISK Poll sees shift in top operational risks for 2023; 03Mar2023.pdf](#)
- v. [Bank Credit Opportunities; Recent Market Events Show Up the importance of financial risk management; 16Mar2023.pdf](#)
- w. [BOE-statement-uk-creditor-hierarchy; 20March2023.pdf](#)
- x. [Credit Suisse puts new dent in Swiss bank armour; 15March2023.pdf](#)
- y. [Credit Suisse; a failure of regulatory culture; 25March2023.pdf](#)
- z. [CRR2; EBA publishes No-action letter on boundary between banking book and trading book provision; 11Mar2023.pdf](#)
- aa. [On Credit Suisse this week; 16Mar2023.pdf](#)
- bb. [Recent market events highlight the importance of financial risk management; 16Mar2023 .pdf](#)
- cc. [Senate Republicans Say No to Increased Capital Requirements for Banks; 11Mar2023.pdf](#)
- dd. [Summary on trilogue discussions to finalise the new Banking Package – CRD6 and CRR3; 16Mar2023.pdf](#)
- ee. [U.S. Government Announces Uninsured SVB, Signature Depositors to Be Made Whole; 14Mar2023.pdf](#)
- ff. [UBS agrees \\$3.25bn rescue deal for rival Credit Suisse at SFr 0.75 per share; 19Mar2023.pdf](#)

7. EU Rules and ESAs

- a. [PDF](#) [European & UK Regulatory & Political News; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF](#) [UK & European Regulatory & Political News; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
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- f. [EVIA Response to ESMA CP 70-156-6307 on a Manual for post-trade transparency; 31March2023.pdf](#)
- g. [PDF](#) [AFM; DORA Impact on Trading Platforms; incident-management-capital-markets; 01Mar2023.pdf](#)
- h. [PDF](#) [AFME published comment on first ECON vote on the MiFIR review; 01Mar2023.pdf](#) & [PDF](#) [AFME comment on first ECON vote on the MiFIR review; 01Mar2023.pdf](#)
- i. [PDF](#) [AFME; Proposal for European T1 Taskforce.pdf](#)
- j. [PDF](#) [BaFin tells Eurex, Clearstream to fix organizational issues; 31Mar2023.pdf](#)
- k. [PDF](#) [CCP Basis - Large LCH-EUREX basis - not unexpected; Volatile; 25Mar2023.pdf](#)
- l. [PDF](#) [CER; pb; The EU and Turkey after the elections; The start of a new chapter; Luigi Scazzier; 29.3.23.pdf](#)

- m. [PDF](#) [Cryptos Regulated Future in the EU and UK - What happens now; A&O; 22 March 2023.pdf](#)
- n. [PDF](#) [CSDR EP ECON Final Report; A-9-2023-0047_EN; 06Mar2023.pdf](#)
- o. [PDF](#) [Deutsche Bank Credit Default Swaps; Amir Khwaja; March 29, 2023.pdf](#)
- p. [PDF](#) [DG FISMA's February 2023 newsletter.pdf](#)
- q. [PDF](#) [ECON amendments EU AML_CFT legislation rules for CASPs; EBA consults on risk-based AML_CFT supervision to include CASPs.pdf](#)
- r. [PDF](#) [ECON MEPs adopted changes to CSDR; 01Mar2023.pdf](#)
- s. [PDF](#) [ESMA Board of Supervisors Summary Of Conclusions; 14 October 2022; Friday 20 January 2023; Thursday 26 January 2023 .pdf](#)
- t. [PDF](#) [ESMA publishes the results of the annual transparency calculations for equity and equity-like instruments applicable 01st April 2023.pdf](#)
- u. [PDF](#) [ESMA Verena Ross Speech](#) Developments in AI and blockchain – how do we protect investors and supervise markets effectively?
- v. [PDF](#) [ESMA156-6473 Statement on the DTO and CDS clearing.pdf](#)
- w. [PDF](#) [ESMA50-164-7229 Speech Verena Ross Consob conference 10_03_2023.pdf](#)
- x. [esma70-460-189_gas_dlt_pilot_regulation.pdf](#)
- y. [esma70-872942901-35_gas_transparency_issues.pdf](#)
- z. [esma70-145-114_gas_on_bmr.pdf](#)
- aa. [esma70-1861941480-52_qa_on_emir_implementation\(1\).pdf](#)
- bb. [esma70-155-10816_annex_to_transparency_opinion_03Mar2023.xlsx](#)
- cc. [PDF](#) [EU adds and deletes third countries, including UAE, to the AML Risk Register; 28Feb2023.pdf](#)
- dd. [PDF](#) [Eurex Conf discusses the Eurex-LCH rate swaps 10 year basis; Risk; 23Mar2023.pdf](#)
- ee. [PDF](#) [European Parliament adopts negotiating position on CRR III and CRD VI proposals; 04Mar2023 .pdf](#)
- ff. [PDF](#) [FISMA Call for Evidence of the scope and third-country regime of the Benchmark Regulation; 03Mar2023.pdf](#)
- gg. [PDF](#) [FT; French prosecutors raid banks in tax fraud probe; 29Mar2023.pdf](#)
- hh. [PDF](#) [Linklaters MiFID Review EP client note 2.pdf](#)
- ii. [PDF](#) [Meeting note of JTAG Initial Meeting for a T+1 European Taskforce; 30March2023.pdf](#)
- jj. [PDF](#) [MiFID II review EP position; 03Mar2023.pdf](#)
- kk. [PDF](#) [MiFID II review EP position; 03Mar2023.pdf](#) & [PDF](#) [EP ECON progresses MiFIR review, TA's & aspirant CTP operators as well as the FCA all published comments; 01Mar2023.pdf](#) & [PDF](#) [ECON MEPs back MiFIR2 for a better access to market data and more robust EU market infrastructures; 01Mar2023.pdf](#)
- ll. [PDF](#) [MiFID3, MiFIR2 pre-trilogue comparison; 23Mar2023.pdf](#)
- mm. [PDF](#) [MiFIR; EC ECON Report; 02Mar2023; A-9-2023-0040_EN.pdf](#) & [PDF](#) [COM_COM20210727_EN.pdf](#) & [PDF](#) [MiFID II review EP position; 03Mar2023.pdf](#)
- nn. [PDF](#) [OMFIF; Undone on the western front; David Marsh; 23Feb2023.pdf](#)
- oo. [PDF](#) [Osttra has announced that its TriBalance Capital Optimisation SA-CCR service is & with FIA's DMIST to Establish ETD Post-trade Data Standards; 09March2023.pdf](#)

- pp. [PDF SFTR; ESMA's new SFTR validation rules – still playing roulette with data accuracy; 09Mar2023.pdf](#)
- qq. [PDF State of Play in EMIR 3.0 & UK EMIR; All about implementing TS; CSDR, DORA and SFDR in March 2023; 31March2023.pdf](#)
- rr. [AFM; market-watch-8-algoritme-handel; 15Mar2023.pdf](#)
- ss. [AFME has today published its European High Yield and Leveraged Loan Report for the fourth quarter of 2022 and all of 2022; 13Mar2023.pdf](#)
- tt. [AFME has today published its European securitisation report for the fourth quarter and full year of 2022;.pdf](#)
- uu. [CRR2; EBA publishes No-action letter on boundary between banking book and trading book provision; 11Mar2023.pdf](#)
- vv. [PROPOS~3.PDF](#)

8. Conduct/ Enforcement/ PFOF

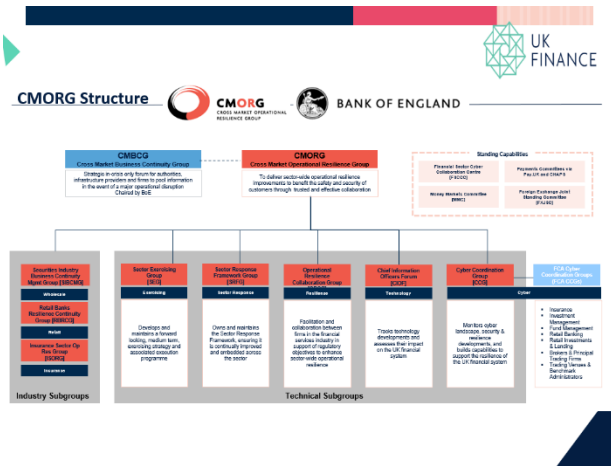
- a. [PDF Conduct, Sanctions and Enforcement News; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF Conduct, Sanctions and Enforcement News; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- c. [Conduct, Sanctions and Enforcement News; Week 11; 13th March 2023 to 17th March 2023 .pdf](#)
- d. [PDF Conduct, Sanctions and Enforcement News; Week 12; 20th March 2023 to 25th March 2023.pdf](#)
- e. [PDF Conduct, Sanctions and Enforcement News; Week 13; 27th March 2023 to 01st April 2023 .pdf](#)
- f. [FSB Work Programme for 2023; Annual work programme and publication timetable for the FSB](#)
- g. [XLS Associations JTAG Global UTI_Cross TA meeting notes_2022Nov23.xlsx](#)
- h. [PDF BOE, FCA; transforming-data-collection-communication-to-firms-23-march-2023.pdf](#)
- i. [PDF Buyer beware; Managing financial crime risk takes more than tech; 30March2023.pdf](#)
- j. [PDF Decision_\(WO AFFD\)_GMB Brokers LTD and Marco Saviozzi_2023_0228.pdf](#) & [PDF Decision_\(WO AFFD\)_Jason Terence Lyons_2023_0228.pdf](#)
- k. [PDF EFF070-Q4-Reg-Update-UK-Feb-2023.pdf](#) & [PDF EFF070-Q4-Reg-Update-UAE-Feb-2023.pdf](#)
- l. [XLS EMIR-EU and UK_reporting_Industry-Best-Practices-matrix_2023 April_edits highlighted.xlsx](#)
- m. [PDF ESMA156-6473_Statement_on_the DTO_and CDS clearing.pdf](#)
- n. [PDF European banks explore shift to single-day trade settlement; 03Mar2023.pdf](#)
- o. [PDF EVIA; Guidance for Transaction Reporting Matched Principal transactions; February 2023.pdf](#)
- p. [PDF FCA Amigo fine reveals what FCA expects from lenders; 27Feb2023.pdf](#)
- q. [PDF FCA BOE PS23_2; Changes to reporting requirements, procedures for data quality & registration of TRs under UK EMIR; 25Feb2023.pdf](#)
- r. [PDF FCA Fast-growing firms multi-firm review; 10March2023.pdf](#)
- s. [PDF FCA using fee data for 'use it or lose it' action; 25Feb2023.pdf](#)

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- t. [PDF](#) [FT; French prosecutors raid banks in tax fraud probe; 29Mar2023.pdf](#)
 - u. [PDF](#) [Hybrid working; building a compliance culture; 31March2023.pdf](#)
 - v. [PDF](#) [Identifiable position reporting to crimp CDS liquidity, say traders; 31 March 2023.pdf](#) & [PDF](#) [derivatiViews; Transparency in CDS; SDA CEO Scott O'Malia; 30March2023.pdf](#)
 - w. [PDF](#) [LME faces prospect of fines over nickel market chaos; FCA launches enforcement action over decision to freeze trades; 03Mar2023.pdf](#)
 - x. [PDF](#) [Note; Smooth start for CFTC's re-jigged swap reporting rules; 25Feb2023.pdf](#)
 - y. [PDF](#) [OFAC designated multiple individuals and entities in a broad expansion of sanctions against Russia; 27Feb2023.pdf](#)
 - z. [PDF](#) [Osttra has announced that its TriBalance Capital Optimisation SA-CCR service is & with FIA's DMIST to Establish ETD Post-trade Data Standards; 09March2023.pdf](#)
 - aa. [PDF](#) [PRA; DP1_23; Review of the Senior Managers and Certification Regime \(SM&CR\); 31Mar2023.pdf](#)
 - bb. [PDF](#) [Proposed new UK regime puts Crypto firms put on notice; 30Mar2023.pdf](#)
 - cc. [PDF](#) [The UK updates its sanctions guidance on "ownership and control" and sets out its due diligence expectations; 31March2023.pdf](#)
 - dd. [PDF](#) [UK Government published the Economic Crime Plan 2 for 2023- 2026; 31Mar2023.pdf](#)
 - ee. [PDF](#) [Update on FCA Authorisations operating service metrics; 22Mar2023.pdf](#)
 - ff. ESMA fines S&P €1.11 million for failures related to the premature release of credit ratings to the public; : <https://www.esma.europa.eu/press-news/esma-news/esma-fines-sp-eu111-million-failures-related-premature-release-credit-ratings>
 - gg. Hedge Fund Chatham, Founder Pay \$19 Million in SEC Case Over Bond Trading; Regulator alleged Chatham trading amped up price in AMI bonds; Firm, Founder Melchiorre didn't admit or deny allegations
 - hh. [Merrill agrees to pay over \\$9.5 million to settle SEC charges over fee disclosures](#)
 - ii. [Denmark Gets Boost In Tax Fraud Case On Preliminary Issues](#)
 - jj. [German Officials Under Fire Over Pace Of Cum-Ex Pursuit](#); German officials have been accused of moving too slowly in their prosecution of cases involving the tax fraud known as cum-ex, with critics arguing that delays in putting defendants on trial hurt the rule of law and prevent recovery of lost revenue.
 - kk. [ESMA raises concerns over proposed changes to the insider list regime in the Market Abuse Regulation; On 20 March 2023, the ESMA published a \[letter\]\(#\), addressed to the European Parliament and Council, raising concerns over proposed changes to the insider list regime in the Market Abuse Regulation.](#)
 - ll. [PDF](#) [Joint HM Treasury and FCA statement on the criminal market abuse regime; 25Mar2023.pdf](#)

9. Cybercrime/ AML/ KYC/ Reg Tech

- a. JMLSG – [Update](#)
 - i. [JMLSG publishes revisions to AML Guidance Part 2; 08Mar2023.pdf](#)
 - ii. [JMLSG Revisions; Sector 22_Marked up_March 2023.pdf](#)

- b. BOE and FCA are reviewing the Cyber Co-ordination Groups in general. EVIA shall continue participation on TACIG when it next meets in May/June, which shall allow for any rationalisation of these groups and format.



- i. Incident Reporting Update – As discussed in the meeting Firms are required to notify the FCA of material operational incidents as part of SUP15.3 and Principle 11. This includes technology failure and outages, cyber-attacks and non-technology incidents, such as a power outage or office closures. We track, analyse and respond to incidents that are reported to the FCA.
- ii. The focus of our incident response work is to make sure firms take appropriate steps to mitigate harm, identify the root cause, and to prevent the incident reoccurring.
- iii. Further details can be found at the links ->
<https://www.fca.org.uk/firms/operational-resilience#reporting-operational-incident>
- iv. https://www.handbook.fca.org.uk/form/sup/SUP_15_ann_11_REP018_2018_0113.pdf - This is the link under FCA Chapter 15 (SUP 15) relating to Payments Service Directive incidents. Still useful to use as a guide though when reporting other non-payment incidents as similar information under the headings will be required. e.g. Nature of the Service incident, Impact, Mitigation and Communication plans.
- v. CTP – <https://www.fca.org.uk/publications/discussion-papers/dp22-3-operational-resilience-critical-third-parties-uk-financial-sector>
- vi. Roze Ahmad roze.ahmad@fca.org.uk for specific questions on presentation but feedback on Discussion Paper should be sent to DP3_22@bankofengland.co.uk

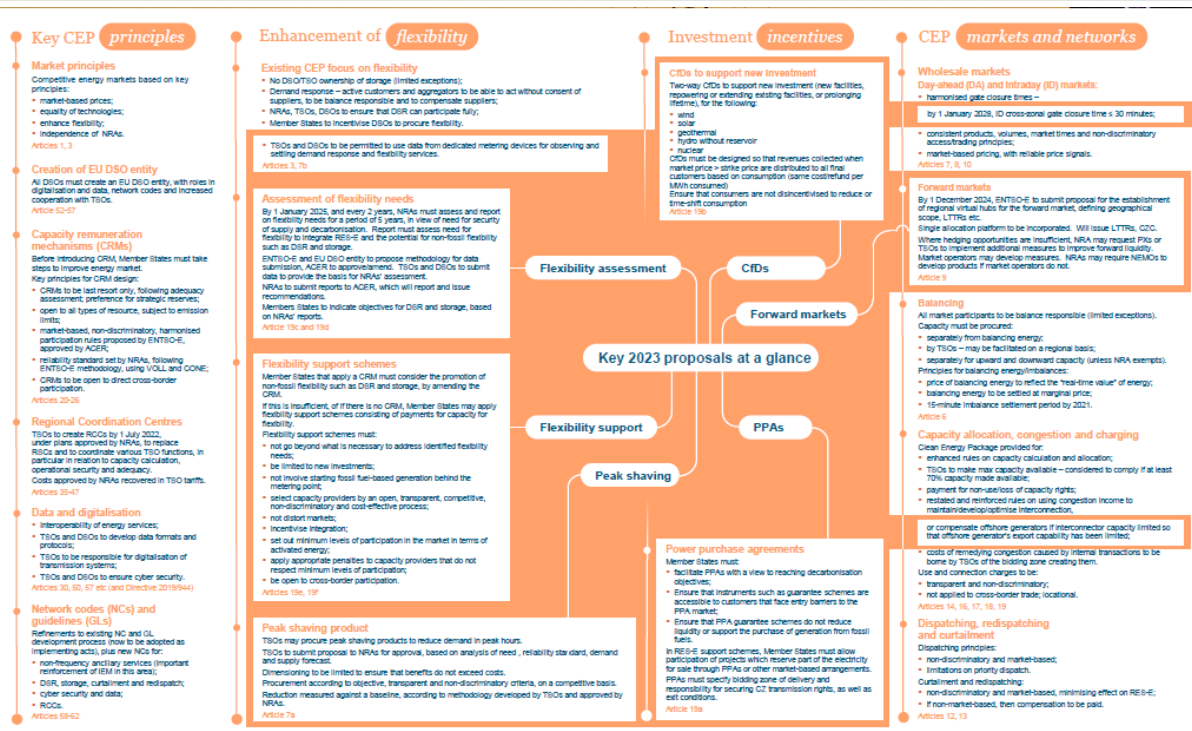
- mm. [FATF updates Recommendations on international standards on combatting money laundering and the financing of terrorism proliferation; 15Mar2023.pdf](#)
- c. [AFME has issued a position paper on amendments to the Anti-Money Laundering Regulation \(AML-R\) ahead of the EP ECON Shadow meeting; 03Feb2023.pdf](#)
- nn. [FATF publishes report on countering ransomware financing; 16Mar2023.pdf](#)
- d. [FATF publishes Plenary outcomes; 28Feb2023 .pdf](#)

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- e. [New EU measures against money laundering and terrorist financing; On 28 March 2023, the European Parliament announced that MEPs have approved stricter rules to close existing gaps in combatting money laundering, terrorist financing and evasion of sanctions in the EU.](#)
 - f. [ECON amendments to the revised EU AML/CFT legislation: stricter rules for crypto-asset service providers; On Tuesday, 28 March 2023, the European Parliament's Economic and Monetary Affairs Committee \(ECON\) adopted its position on the proposed anti-money laundering and counter-terrorism financing legislative package that was published by the European Commission \(Commission\) in July 2021.](#)
 - g. [EBA consults on amendments to guidelines on risk-based AML/CFT supervision to include crypto-asset service providers; On 29 March 2023, the EBA issued a public consultation on proposed amendments to its guidelines on risk-based anti-money laundering and countering the financing of terrorism \(AML/CFT\) supervision \(the Risk-Based Supervision Guidelines\). The proposed changes extend the scope of the Risk-Based Supervision Guidelines to AML/CFT supervisors of crypto-asset service providers \(CASPs\).](#)
 - h. [HM Treasury and FCA publish joint statement on criminal market abuse regime; HM Treasury and the FCA have completed a review of the criminal market abuse regime. In the Economic Crime Plan 2019-22, the Government and FCA committed to jointly reviewing the criminal market abuse regime.](#)

10. ESG Topics, D&I & Disclosures

- a. [PDF EU & UK Progress on Climate Disclosures Regime in Financial Institutions; 16Mar2023.pdf](#)
- b. [PDF Carbon prices reached record highs in 2022, and the global carbon market value grew despite a decrease in transactions; 30Mar2023.pdf](#)
- c. [PDF ESG developments in Wholesale Markets in January and February 2023; 22Feb2023.pdf](#)
- d. [PDF FCA Consultation responses call for improvements to proposed sustainability labels; 20Feb2023.pdf](#)
- e. [PDF UK; HM 2023 Green Finance Strategy; HMT consults on regime for ESG ratings providers; FCA updates on its SDR an labels CP; 31 March 2023.pdf](#)
- f. [AFME; Sustainable Finance in Europe; 16Mar2023.pdf](#)
- g. [ECB; WPS; Climate & the Economy; Climate change & public policies to arrest it are & will continue reshaping the global economy; 15Mar2023.pdf](#)

11. Energy & ACER



- [Energy and Commodities Roundup; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- [Energy and Commodities Roundup; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- [Energy and Commodities Roundup; Week 11; 13th March 2023 to 17th March 2023.pdf](#)
- [Energy and Commodities Roundup; Week 12; 20th March 2023 to 25th March 2023.pdf](#)
- [Energy and Commodities Roundup; Week 13; 27th March 2023 to 01st April 2023.pdf](#)
- [MCM_EWP_30032023; ACER PPT at the Energy Working Party meeting, Brussels; 30 March 2023.pdf](#)
- [ACER_REMIT_FAQs on transaction reporting v15_working doc.docx](#)
- [LME; Nickel Reform; Strengthening the Market - Infographic; 30Mar2023.pdf](#)
- [Germany risks running out of gas next winter, regulator warns; Klaus Müller says industry and households will have to make more savings; 23Mar2023.pdf](#)
- [ICE Circular E23_013 - Introduction of EU Power Base Financial Daily Futures Contracts; 10Mar2023.pdf](#)
- [BoE & the FCA announced further actions being taken by them in connection with the LME's temporary suspension of nickel trading in March 2022.pdf](#)
- [FSMA Commodity Derivatives and Emission Allowances Order 2023 published by HMT; 03Mar2023.pdf](#)
- [IFEU Circular 23_025 - Trading Information on Limits TTF Natural Gas Contracts and update to the Interval Price Limit.pdf & Circular E23_007 - Suspension of Trading; French PEG Natural Gas Futures Contracts; E23007.pdf](#)
- [IEA GasMarketReportQ12023.pdf](#)

- o. [PDF EU & Council; statement-after-press-conference-270223-energy-transport.pdf](#)
- p. [PDF LME faces prospect of fines over nickel market chaos; FCA launches enforcement action over decision to freeze trades; 03Mar2023.pdf](#)
- q. [REMIT Reinforcement Proposals within the DG Energy Proposals; 14Mar2023.pdf](#)
- r. [Electricity Market Design revision; Proposal to amend the REMIT Regulation;](#)
- s. [FMSB; Precious Metals Data and Transparency Spotlight Review - March 2023.pdf](#)
- t. [PDF A large change to the REMIT regulation is under way; 11March2023 .pdf](#)
- u. [PDF Is the UK being held to ransom in the power market; FT; 28Mar2023.pdf](#)
- v. [PDF 1.c ARIS updates_Joint AEMPs-OMPs-RRMs Roundtable_2022 06 13_final Schema T4.pdf](#)
- w. [PDF Trayport Commodities Report - January 2023.pdf](#)
- x. [PDF ACER; Electricity_MMR_2022-Key_Developments; 28Feb2023.pdf](#)
- y. [PDF ACER FinalReport on the MCM; 01Mar2023.pdf](#) & [PDF MCM_EWP_30032023; ACER PPT at the Energy Working Party meeting, Brussels; 30 March 2023.pdf](#)
- z. [PDF ACER and ESMA File first MCM Feedback Reports; 01March2023.pdf](#)
- aa. [PDF ACER transitions to LNG_Price_methodology_Beta2.0 as of 08March2023.pdf](#) & [PDF 030223-Proposed-CR-2-51.pdf](#)
- bb. [COM_2023_147_1_EN_ACT_part1_v5; 14Mar2023.pdf](#)
- cc. [European Commission proposes amendments to REMIT; 16March2023.pdf](#)
- dd. [PDF Proposed Changes to EU Energy Reg 943 Law in Mark-up; 30Mar2023.pdf](#) & [PDF EU Reg 943 Ammending Wholesale Energy Markets; 2Birds One Pager; 30Mar2023.pdf](#)
- ee. [PDF LME Group announces plan to strengthen its markets; 31March2023.pdf](#)
- ff. [Word ACER_REMIT_TRUM v5.2_working doc.docx](#)

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

- a. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 13; 27th March 2023 to 01st April 2023 .pdf](#)
- b. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 12; 20th March 2023 to 25th March 2023 .pdf](#)
- c. [Market Regs, Post Trading and Benchmarks News & Events; Week 11; 13th March 2023 to 18th March 2023.pdf](#)
- d. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- e. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- f. [PDF February 2023 SEF Tracker; 04April2023](#)
- g. [PDF Global Regulatory Brief; Markets, Risk & Stability; Green, Digital; April edition.pdf](#)
- h. [PDF MiFID3, MiFIR2 pre-trilogue comparison; 23Mar2023.pdf](#)
- i. [PDF Meeting note of JTAG Initial Meeting for a T+1 European Taskforce; 30March2023.pdf](#)
- j. [Excel EMIR-EU and UK_reporting_Industry-Best-Practices-matrix_2023 April_edits highlighted.xlsx](#)

- k. [PDF](#) [State of Play in EMIR 3.0 & UK EMIR; All about implementing TS; CSDR, DORA and SFDR in March 2023; 31March2023.pdf](#)
- l. [PDF](#) [A large change to the REMIT regulation is under way; 11March2023 .pdf](#)
- m. [PDF](#) [ACER FinalReport on the MCM; 01Mar2023.pdf](#) & [PDF](#) [MCM_EWP_30032023; ACER PPT at the Energy Working Party meeting, Brussels; 30 March 2023.pdf](#)
- n. [PDF](#) [Acquisitions of Fixed Income Connectivity Solutions Spotlight the 60% Growth Potential of this Market Service Segment; 31Mar2023.pdf](#)
- o. [PDF](#) [AFME; Proposal for European T1 Taskforce.pdf](#) & [PDF](#) [EVIA Note on SEC Adoption of T+1 Settlement Cycle and Related Changes; 15February2023.pdf](#)
- p. [PDF](#) [ANNA-DSB Indicative UPI User Fees; 10Mar2023 .pdf](#)
- q. [PDF](#) [BaFin tells Eurex, Clearstream to fix organizational issues; 31Mar2023.pdf](#)
- r. [PDF](#) [CCP Basis - Large LCH-EUREX basis - not unexpected; Volatile; 25Mar2023.pdf](#) & [PDF](#) [Eurex Conf discusses the Eurex-LCH rate swaps 10 year basis; Risk; 23Mar2023.pdf](#)
- s. [PDF](#) [China makes sweeping reform to financial sector regulation; CSRC proposes position limits, reporting rules; 31 March 2023.pdf](#) & [PDF](#) [China makes sweeping reform to financial sector regulation; OMFIF; 31March2023.pdf](#)
- t. [PDF](#) [ClarusFT; Clearing Houses are About to Convert Your USD LiBOR Swaps- What do you Need to Know; Barnes; 09Mar2023.pdf](#)
- u. [PDF](#) [ClarusFT; Tracking CAD & SGD RFRS; Chris Barnes March 27, 2023.pdf](#)
- v. [PDF](#) [ClarusFT; USD Swaps Margin Calls in March 2023; Amir Khwaja; 22March2023.pdf](#)
- w. [PDF](#) [Cloud Adoption in Electronic Trading; An Increased Level of Complexity or Great Enabler; 27March2023.pdf](#)
- x. [PDF](#) [Corporate Bond Market Reaches Record Highs in February Traded Volumes; 31Mar2023.pdf](#)
- y. [PDF](#) [CSDR EP ECON Final Report; A-9-2023-0047_EN; 06Mar2023.pdf](#)
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- aa. [PDF](#) [EVIA Summary Note; FSB Work Programme for 2023; Annual work programme and publication timetable for the FSB; 31March2023.pdf](#) & [PDF](#) [Annual work programme and publication timetable for the FSB 2023; 31Mar2023.pdf](#)
- bb. [PDF](#) [FAQs Regarding the Failure of Silicon Valley Bank; 12March2023.pdf](#) & [PDF](#) [Recent SVB event highlights the importance of Prudential Supervision and financial risk management; 11Mar2023.pdf](#)
- cc. [PDF](#) [FCA 5 month delayed update to the UK Regulatory Initiatives Grid; 28Feb2023.pdf](#) & [PDF](#) [regulatory-initiatives-grid-feb-2023.pdf](#)
- dd. [PDF](#) [FCA BOE PS23_2; Changes to reporting requirements, procedures for data quality & registration of TRs under UK EMIR; 25Feb2023.pdf](#)
- ee. [PDF](#) [FCA Technical Standards \(MiFIR\) \(Derivatives Trading Obligation\) Instrument 2023; 30Mar2023.pdf](#)
- ff. [PDF](#) [February 2023 FX Platform Volumes Up from January; 08Mar2023.pdf](#)
- gg. [PDF](#) [ICMA-The-Asia-International-Bond-Markets-Developments-and-Trends-March-2023-ENG-290323v2.pdf](#)
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- ii. [ISDA-commentary-EMIR-3; Feb2023.pdf](#) & [Note: BoE and FCA publish UK EMIR 3 Final Proposals; 25Feb2023.pdf](#)
- jj. [Key Policy Issues in Finance in 2023; By OW Douglas J. Elliott; 02Mar2023.pdf](#)
- kk. [LME; Nickel Reform; Strengthening the Market - Infographic; 30Mar2023.pdf](#) & [LME Group announces plan to strengthen its markets; 31March2023.pdf](#)
- ll. [MiFID3, MiFIR2 pre-trilogue comparison; 23Mar2023.pdf](#)
- mm. [MiFIR; EC ECON Report; 02Mar2023; A-9-2023-0040_EN.pdf](#) & [COM_COM20210727_EN.pdf](#) & [MiFID II review EP position; 03Mar2023.pdf](#)
- nn. [Move to T+1 in the US could force flows away from European trading hours; 23Mar2023.pdf](#) & [EU T1 Taskforce - Agenda 30 March.pdf](#)
- oo. [Note: China Plans to Create Vast New Financial Regulator – State Council Conclusions; 10Mar2023.pdf](#)
- pp. [Notes from FCA Q1 2023 TACC Meeting; 23Mar2023.pdf](#)
- qq. [Notes from JTAG Call on UTI progress, implementation and utility; 23March2023.pdf](#)
- rr. [Notes from the FCA Webinar; “Implementing the outcomes of the FRE Review”; 23March2023.pdf](#)
- ss. [O’Malia comments to ISDA MRAC; 11Mar2023.pdf](#)
- tt. [Release Number 8683-23; CFTC Staff Issues No-Action Letter Regarding the Migration of Credit Default Swaps from ICE Clear Europe Ltd; 23-05; 30March2023.pdf](#) & [ESMA156-6473 Statement on the DTO and CDS clearing.pdf](#) & [FCA Notice: The application of the derivatives trading obligation to certain credit default swaps; 30Mar2023.pdf](#)
- uu. [SFTR; ESMA’s new SFTR validation rules – still playing roulette with data accuracy; 09Mar2023.pdf](#)
- vv. [SimCorp incorporates FlexTrade capabilities into OMS; 31Mar2023.pdf](#)
- ww. [The UK Designated Activities Regime: note on what is it and how will it impact firms; 23Mar2023.pdf](#)
- xx. [Three Firms Urge Revised Approach to SEC Trading Rule Proposals; 09Mar2023.pdf](#)
- yy. [Tradeweb integrates Nasdaq U.S. Fixed Income platform; 31Mar2023.pdf](#)
- zz. [tradeweb_monthly_activity_report_feb23.pdf](#)
- aaa. [UK prepares cash lifeline for tech companies hit by Silicon Valley Bank collapse; 12March2023.pdf](#) & [SVB; What exactly went so wrong for a \\$200bn+ balance sheet bank to go down so fast; 12March2023.pdf](#)
- bbb. [Update on FCA Authorisations operating service metrics; 22Mar2023.pdf](#)
- ccc. [Updated-OTC-Derivatives-Compliance-Calendar-2023-4-1.pdf](#)
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- eee. [A&O; financial-services-horizon-scanning-report; 28Feb2023.pdf](#)
- fff. [Capitolis chief risk officer to depart; 11Mar2023.pdf](#)
- ggg. [Credit Suisse; a failure of regulatory culture; 25March2023.pdf](#) & [How Finma milked Credit Suisse’s CoCos to close UBS deal; 21Mar2023.pdf](#)
- hhh. [European Commission proposes amendments to REMIT; 16March2023.pdf](#)
- iii. [FIA BOCA 2023 Notes; 16mar2023.pdf](#)
- jjj. [Fixed Income EMSs and the New Credit Trading Paradigm; 16Mar2023.pdf](#)

- kkk. [Opportunities within the Countdown to T+1; 14March2023.pdf](#)
- lll. [TA Activities and Ongoing Priorities; Note of JTAG Call; 11.00 Wednesday 15 March 2022.pdf](#)
- mmm. [The European repo market – ERCC survey shows new record outstanding value of EUR 10,374 billion at year-end 2022; 14Mar2023.pdf](#)

13. Benchmarks and LiBOR Topics

- a. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- c. [Market Regs, Post Trading and Benchmarks News & Events; Week 11; 13th March 2023 to 18th March 2023.pdf](#)
- d. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 12; 20th March 2023 to 25th March 2023 .pdf](#)
- e. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 13; 27th March 2023 to 01st April 2023 .pdf](#)
- f. [Alternative Reference Rates Committee March 9 Meeting Readout; ARRC members noted continued progress in the transition from LIBOR to SOFR throughout the beginning](#)
- g. [UK FCA extends publication of synthetic Libor rates;](#)
- h. [PDF](#) [ACER transitions to LNG_Price_methodology_Beta2.0 as of 08March2023.pdf](#)
- i. [PDF](#) [ClarusFT; Clearing Houses are About to Convert Your USD LiBOR Swaps- What do you Need to Know; Barnes; 09Mar2023.pdf](#)
- j. [PDF](#) [ClarusFT; Tracking CAD & SGD RFRS; Chris Barnes March 27, 2023.pdf](#)
- k. [PDF](#) [derivatiViews The Final LIBOR Hurdle & FCA Technical Standards \(MiFIR\) \(DTO\) Instrument 2023; 30Mar2023.pdf](#)
- l. [PDF](#) [Discussions to ease an interdealer trading ban on SOFR-linked derivatives have reached an impasse after further ARRC rejection; 03Mar2023.pdf](#)
- m. [Word](#) [EC Call for Evidence March 2023_draft_230323.docx](#)
- n. [PDF](#) [EVIA Note; FCA Market Trade Data Review & FCA forward plans; 02Mar2023.pdf](#) & [PDF](#) [wholesale-trade-data-review-findings-report.pdf](#) & [PDF](#) [ToRs for the new FCA Wholesale Data Market Study alongside the CMA; 02March2023; ms23-1-2.pdf](#)
- o. [PDF](#) [FISMA Call for Evidence of the scope and third-country regime of the Benchmark Regulation; 03Mar2023.pdf](#)
- p. [PDF](#) [Powell leads markets on a needlessly wild ride; 10Mar2023.pdf](#)
- q. [PDF](#) [LiBOR Swaps market braces for \\$60 trillion Libor conversion in CPPS over a staggered timeline from April; 03Mar2023.pdf](#)
- r. [15Mar2023.pdf](#)
- s. [ISDA Report; Progress-on-Global-Transition-to-RFRs-in-Derivatives-Markets;](#)
- t. [ISDA, ClarusFT Statistics on Progress on Global Transition to RFRs in Derivatives](#)
- u. [Markets; 14Mar2023 .pdf](#)
- v. [Strict term SOFR trading rules 'permanent' says Fed's Bowman says; 11Mar2023.pdf](#)

14. FX and Money Markets

Meeting ID: 325 188 123 689 / Passcode: P8GcF6
 Or call in (audio only)
[+44 20 4526 6312, 823118245#](tel:+442045266312) United Kingdom,
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- a. [PDF](#) [FX, Credit, Equities and Rates News; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF](#) [FX Markets, Credit, Equities and Rates News; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- c. [Credit, FX Rates and Equities Markets News; Week 11; 13th March 2023 to 17th March 2023 .pdf](#)
- d. [PDF](#) [Credit, FX, Rates, & Equities Markets News; Week 13; 27th March 2023 to 01st April 2023.pdf](#)
- e. [PDF](#) [Standard Chartered notes the first NDF novated at ForexClear ; 07Mar2023.pdf](#)
- f. [PDF](#) [Bloomberg to Provide the Framework for Azerbaijan FX Market; 08Mar2023.pdf](#)
- g. [BOE; fxjsc-legal-sub-committee-november-2022.pdf](#)
- h. [BOE; fxjsc-operations-sub-committee-minutes-15-november-2022.pdf](#)
- i. [BOE FXJSC; Main-committee-minutes-22-november-2022.pdf](#)
- j. [PDF](#) [CLS_FX_Trade_Volume_Report_February2023_.pdf](#)
- k. [PDF](#) [Korean FX Market Structural Improvement Plan; MOEF; 07Feb2023.pdf](#)
- l. [PDF](#) [FX Platform Volumes Up from January; 04Mar2023.pdf](#)
- m. [PDF](#) [February 2023 FX Platform Volumes Up from January; 08Mar2023.pdf](#)

15. Digitalisation of Regulatory Reporting and Cryptoassets

- a. [PDF](#) [FinTech, SupTech & RegTech News; Week 09; 27th February 2023 to 03rd March 2023.pdf](#)
- b. [PDF](#) [FinTech, SupTech & RegTech News; Week 10; 06th March 2023 to 10th March 2023.pdf](#)
- c. [FinTech, SupTech & RegTech News; Week 11; 13th March 2023 to 18th March 2023.pdf](#)
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- g. [PDF](#) [Slides - Cryptos Regulated Future in the EU and UK - What happens now 22 March 2023.pdf](#)
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17. Open Consultations

Meeting ID: 325 188 123 689 / Passcode: P8GcF6
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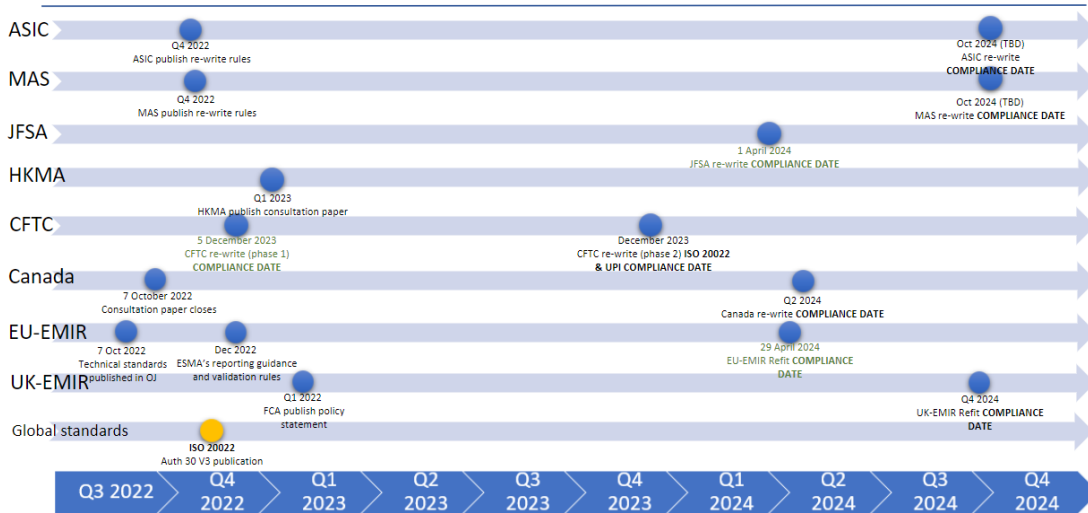
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- EVIA/LEBA Responding
- [Discussion Paper 1/23: Review of the Senior Managers and Certification Regime & Senior Managers & Certification Regime – a Call for Evidence](#)
- Closes on 01 June
- [FISMA Call for Evidence of the scope and third-country regime of the Benchmark Regulation; 03Mar2023.pdf](#)
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- [EU Commission, DG ENER Consulting on proposed reforms of the EU electricity market and to REMIT Regulation](#)
- To co-legislators
- FCA; [PS23/2: Changes to reporting requirements, procedures for data quality and registration of Trade Repositories under UK EMIR \[PDF\]](#)
- Open policy statement to CP 21/31 – possible comment bank on ISIN over UPI decision
- **Other Relevant or recently closed**
- FCA; [CP22/28: Remuneration: Ratio between fixed and variable components of total remuneration \('bonus cap'\)](#)
- ESMA; [Consultation on authorisation and registration of benchmark administrators](#)
- [ESMA CP on a TRUM](#) approach to replace FAQs
- FCA [CP23/6: Quarterly Consultation Paper No. 39 \[PDF\]](#)
- FCA [PS23/2: Changes to reporting requirements, procedures for data quality and registration of Trade Repositories under UK EMIR \[PDF\]](#) [closed]
- [HMT Call for Evidence on SSR](#) [closed]
- [EU CfE on Electricity Markets Design](#) [closed]
- [FS23/1: Synthetic Data Call for Input Feedback Statement \[PDF\]](#) [closed]
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- FCA: [CP22/26: Quarterly Consultation Paper No. 38](#)
- FCA [Handbook Notice 107 \[PDF\]](#)
- ESMA; [Consultation Paper on Market Outages](#) (closed)
- ESMA; [Consultation Paper on Draft RTS on Business Reorganisation Plans \(Articles 37\(4\) And 38\(4\) of...\)](#) (closed)
- ESMA; [ESAs Call For Evidence On Greenwashing](#) (closed)
- ESMA: [Consultation on Review Of The Technical Standards Under Article 34 of Mifid II](#) (closed)
- ESMA: [Consultation Paper on Review Of RTS on Authorisation & Registration](#) (closed)

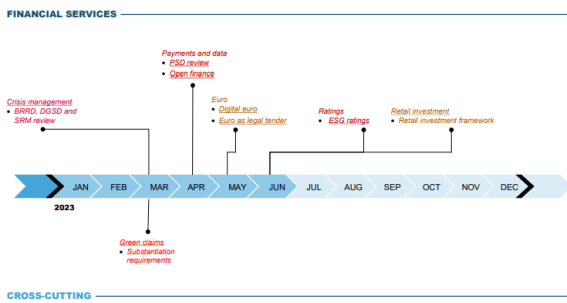
18. Weekly Roundups for February 2023

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Regulatory Reporting Re-writes: reporting start dates



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