





## EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 04th October 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. [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 04th October 2023.pdf](#)
- c.  [Updated-OTC-Derivatives-Compliance-Calendar-2023-10-1.pdf](#)
- d.  [FCA Regulation round-up September 2023.pdf - Annual Public Meeting will take place on Wednesday 4 October 2023, 10am-12pm](#)
- e. [Handbook Notice 112 \[PDF\] \[September 2023\]](#)
  - i. changes to the FCA Handbook to clarify how to calculate the own funds threshold requirement and the liquid asset threshold requirement. The instrument also clarifies when a consolidated internal capital adequacy and risk assessment (ICARA) process may be required for an investment firm group and updates the ICARA questionnaire and the numbering of the MIF007 form
  - ii. a deferral for transactions in exchange traded funds (ETFs) priced at net asset value (NAV) to streamline post-trade transparency reporting and reduce operational burden. This means that trades in ETFs priced at NAV can be published after execution when the NAV is available.
- f. [FCA Cyber Coordination Group; Q3 TACIG Session today](#)
  - i. [Q2 2023 TACIG Meeting Minutes .pdf](#)
  - ii.  [Outsourcing Register Template.xlsx](#)
  - iii.  [Authorities Updates CCG Q2.pdf](#)
  - iv. 14:00 – Meeting Opening (Matt Wood)
  - v. 14:05 – Impact to the Financial Sector on Quantum Computing (Adam Avars)
  - vi. 14:35 – Threat Intel Sharing (Matt Wood)
  - vii. 15:10 – STAR FS Update (Luke Vile)
  - viii. 15:30 – CMORG Conference Update/Feedback (Matt Wood)
  - ix. 15:55 - AoB
- g. [ACER would like to invite LEBA to the 7th REMIT Forum](#) dedicated to the current revision of REMIT. The event will take place on Tuesday, 5 December 2023 as a virtual meeting
  - i. Panel discussion: main changes and strengthening of REMIT investigations and enforcement
- h. Thank you again EVIA for agreeing to speak at the [City & Financial Market Abuse Summit](#) due to take place on 27<sup>th</sup> February 2024.
- i. [Aged Brokerage; Survey Structure; !\[\]\(54cb7c61ff385eb40d6f6ccc42e89c3b\_img.jpg\) EVIA Outstanding Receivables Survey of UK entities for FCA; April 2023.xlsx](#)

- j. [PDF The post-Brexit Handbook; a collective opportunity; FCA Blog Post; Greg Sachrajda; 14Sep2023.pdf](#)
- k. **Dear Trade Associations, We're asking a number of firms to complete this survey to help us understand how the current financial climate is impacting FCA solo-regulated firms. We're planning to send this survey to the relevant firms in Tranche 1, some of which may be members of your associations, on one of the following dates:**
- i. [PDF FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
  - ii. And firms in Tranche 2 on the following dates:
    1. **Batch 1:** to be sent on 16 October 2023 - response due by **6 November 2023**
    2. **Batch 2:** to be sent on 17 October 2023 - response due by **7 November 2023**
    3. **Batch 3:** to be sent on 18 October 2023 - response due by **8 November 2023**
    4. **Batch 4:** to be sent on 20 October 2023 - response due by **10 November 2023**
  - iii. Firms in the [Temporary Permissions Regime](#) and Supervisory Run-off Regime can expect to receive this same survey, based on the same timeline above.
  - iv. **PS23/3:** We are replacing the FCA Financial Resilience Survey with a new financial resilience regulatory return. This will be referred to as 'FIN073 – Baseline Financial Resilience Report'. View our [Policy Statement, including feedback to CP22/19 and final rules](#).
  - v. Firms that will be brought into scope of FIN073 will need to be prepared to submit the return when it is due, from January 2024. Firms will receive an automated reminder via RegData when the return is available for submission.
  - vi. **We still require firms to complete the financial resilience survey when requested to do so by us until the new return comes into force.**
  - vii. This latest survey follows on from Phase 10, issued in June 2023:
- l. [PDF FCA outreach; Industry engagement roundtables on the UK Investment Research Review \(IRR\); 02Oct2023.pdf](#)
- i. As many of you are aware, the Government commissioned an independent review into Investment Research (IRR) and its recommendations were published July 2023. The IRR evaluated the provision of investment research in the UK and its contribution to the competitiveness of the UK's capital markets, considering amongst other things the impact of the unbundling rules on payment for investment research on the supply and demand for research services.
  - ii. In our public responses both to the IRR and to the Chancellor's Mansion House speech, we committed to engaging with market participants to inform the content of any upcoming consultation proposals.
  - iii. We are now in a position to commence industry engagement and plan to conduct a number of roundtables with industry participants and are currently targeting late November to discuss views and issues on introducing additional optionality. In line with the FCA's public response, we will prioritise engagement on the accelerated timetable for addressing Recommendation 2 of the IRR, namely on introducing additional optionality when market participants pay for investment research.
  - iv. If your body, or your members, would be interested in participating in the roundtables, please let us know
- m. [PDF FCA & PRA consult on measures to boost diversity and inclusion in the financial sector; 26Sep2023.pdf](#)

- n. FCA published a [speech](#) delivered by Sarah Pritchard, Executive Director of Markets and International, at the Financial Crime Summit 2023. *The speech addresses calibrating controls to build confident markets. In her speech, Ms Pritchard makes the following remarks:*
- i. As an outcomes and data-led regulator, the FCA is focusing on results. There has been an eight per cent reduction in the total amount lost through fraud in the last year, according to data from UK Finance.
  - ii. Firms need to understand their risks and calibrate their controls appropriately and proportionately. Those checks carried out by firms can disrupt serious criminality and protect the public. They should also expect spot checks by the FCA.
  - iii. The FCA has published its report on sanctions where it identifies good and bad practice.
  - iv. The FCA will increase its focus on whistleblowing in high-risk sectors and expects first line of defence employees to raise awareness of the process and benefits of whistleblowing for organisations and wider society. It will be testing how effectively these messages have been shared and will identify best practice across the industry.
  - v. The FCA is also working to support changes to faster payments, so that payments can be slowed down in cases of suspected fraud.
  - vi. Firms must be able to manage financial crime risks. However, if politically exposed persons (PEPs) rules are applied inappropriately, individuals and their families may find themselves excluded from products or services through no fault of their own. Therefore, the FCA is engaging with PEPs, firms, and other stakeholders to understand whether it needs to make improvements to how the regime applies in the UK.
- o. [FCA publishes speech on calibrating controls to build confident markets](#); *On 6 September 2023, the FCA published a [speech](#) delivered by Sarah Pritchard, Executive Director of Markets and International, at the Financial Crime Summit 2023. The speech addresses calibrating controls to build confident markets. In her speech, Ms Pritchard makes the following remarks:*
- i. As an outcomes and data-led regulator, the FCA is focusing on results. There has been an eight per cent reduction in the total amount lost through fraud in the last year, according to data from UK Finance.
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## Standing Items

### 1. Conduct

- a. [Summary notes of AFME’s Compliance and Legal Conference; 29September2023.pdf](#)
- b. [Morgan Stanley fined £5.41m as traders WhatsApp wholesale energy market transactions on their private phones; 01Sep2023.pdf](#)
  - i. [PDF 10 Firms Fined by CFTC for Failing to Preserve Electronic Communications; 02October2023.pdf](#)
  - ii. [Bosworth Brokers LLC Fined for Use of Unapproved Messaging Platform; IB and AP settled charges with NFA for recordkeeping and supervisory failures resulting from the use of an "unapproved, unmonitored communications platform."](#)
  - iii. [Now On Demand Surveillance in the age of WhatsApp.msg](#)
    - Insights into the electronic communications and regulatory landscape within financial services
    - Voice and transcription trends – and challenges to prepare for
    - Practical advice on using governance and technology solutions to enable flexible communication with clients and counterparties
    - An introduction to the Compliance Archive - providing you with transparency in a highly fragmented market
- c. [UK banks tighten up on work from home; 04Sep2023.pdf](#)
- d. Firm culture:
  - i. [NRF Podcasts: Consolidated Tape & ~Culture~ recent developments and practical steps; 01Sept2023.pdf](#)
  - ii. *A&O Firm culture: "what’s the minimum behaviour the firm can get away with"*
    - *Culture not as a status quo*
    - *Culture as then opposite to "Conduct"*
    - *Culture is not homogeneous across the organisation – yet measurement needed via quantitative metrics.*

### Building Firm Culture: What to celebrate and what to work on

Figure 11. Actions to maintain good conduct

	Total	Total		
		Leading	Embedding	Developing
Revisiting core training programmes to ensure they adequately address organisational and risk culture and conduct themes	70%	92%	72%	59%
Ensuring firm values are embedded into all elements of the people strategy	69%	87%	81%	53%
Focus on wellbeing and psychological safety in the workplace	69%	89%	81%	52%
Ensuring the performance and talent management process supports the firm’s values and risk culture	69%	89%	77%	55%
A diverse senior leadership team/board	68%	88%	80%	50%
Ensuring employees have adequate career development opportunities	66%	88%	74%	50%
Underscoring the importance of diversity, equity and inclusion	66%	83%	75%	51%

Type of question: single option per row. Scale: Rank on scale with the following options: completely uninvested; slightly uninvested; neither; slightly invested; fully invested; unable to say. Results in table show percentage of respondents who chose the two most favourable options on scale.



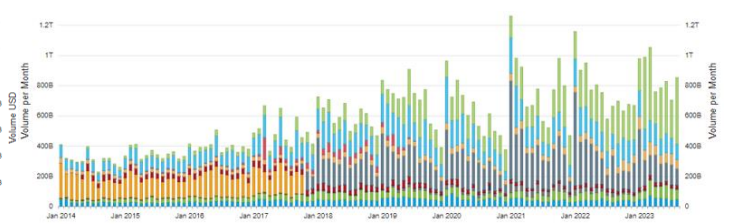
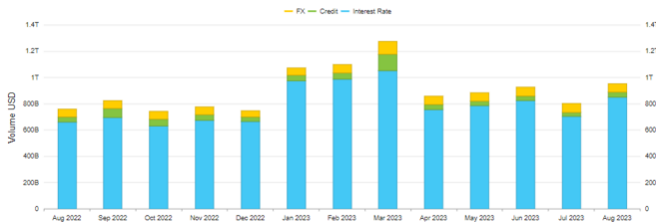
- e. [FCA – Dear CEO letter – supervisory strategy for principal trading firms](#) & NRF latest Regulation Tomorrow Plus [podcast](#), Jonathan Herbst, Hannah Meakin and Anita Edwards discuss the key points covered in the FCA's recent portfolio letter to CEOs of 'principal trading firms' and consider the next steps
  - i. [PDF FCA Portfolio letter – supervisory strategy for Principal Trading Firms; 04Aug2023.pdf](#)
- f. [Who cares about the new emojis; Financial markets regulators; 02Oct2023.pdf](#); 118 new emoji characters are set to launch over the next year may serve as a light-hearted conversation starter at dinner. For those of you working in financial compliance, your reaction might be better illustrated with a 'confused face' emoji over what this might mean for illicit communications surveillance. For regulators, the 'inspector' emoji seems more apt.
- g. [CFTC Press Release: CFTC Orders Chicago-based Advantage Futures LLC to Pay \\$395,000 for Supervision Failures](#)
- h. [The chief executive of Cboe Global Markets has resigned after the exchange operator said he failed to disclose personal relationships with colleagues](#). The Chicago-based group said in a statement on Tuesday that the failure by Edward Tilly to disclose the ties "violated Cboe's policies and stands in stark contrast to the company's values". stock gains 3%
- i. [CFTC Grants Two Whistleblower Awards Totaling Over \\$15 Million; Release Number 8777-23](#);
- j. [Nasdaq Stockholm Surveillance Officer Held in Custody After Raid](#);
- k. [ECB speech – Trading softly yet boldly: how culture drives risk in banks and what supervisors can do about it](#);
- l. [SEC increasingly pursuing steeper fines](#); WSJ
- m. PFOF Topics
  - i. *Dumb Money*, [out today, takes that misperception and tries to reify it](#).
  - ii. [PDF PFOF and its discontents; Ugh fine, we'll debunk the GameStop conspiracy theory; FT Review; 18Sep2023.pdf](#)
- n. [FCA publishes letter to the wholesale banking sector after portfolio analysis and strategy forum](#); On 8 September 2023, the FCA published a [letter](#) to the wholesale banking sector, following its portfolio analysis and strategy forum. The letter sets forth the FCA's supervisory work programme over the next two years which will shape its engagement with the wholesale banking sector. The letter also sets out the FCA's areas of supervisory focus. The letter sets out the following:
  - i. The external environment
  - ii. Risk management
  - iii. Maintaining high standards of control
  - iv. Operational resilience
  - v. Organisational changes
  - vi. LIBOR transition



- vii. Implementation of the Consumer Duty
- viii. ESG
- ix. Artificial intelligence
- x. Diversity, equity and inclusion
- xi. Non-financial misconduct
- o. [FCA publishes letter to firms on preparations to comply with the cryptoasset financial promotions regime and modification to financial promotion rules;](#)
- p. [Economic Crime and Corporate Transparency Bill; update: 06Sep2023.pdf](#)
- q. [FCA publishes findings from its assessments of firms' sanctions systems and controls; 10Sep2023.pdf](#)

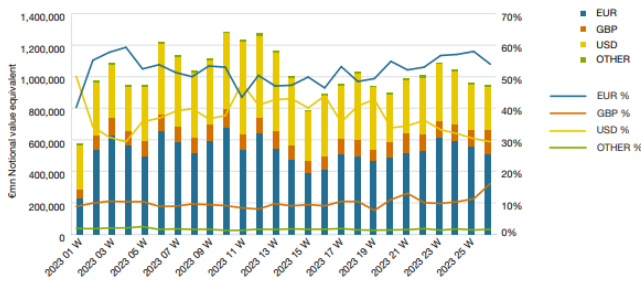
**2. Rule Books**

- a. FCA & ESMA ongoing work on TV Outages: SMAC Sub-committee
- b. MiFIR Trilogues Technical Trilogues - Still Ongoing under Spanish PRES
  - i. [ClarusFT; Brexit continues to impact EUR Swaps market share for CCPs and SEFs; Chris Barnes; 20Sep2023.pdf](#)
  - ii. [August FX Traded and Platform Volumes; 18Sep2023.pdf](#)
  - iii. [August 2023 SEF Tracker; 01Oct2023.pdf](#)

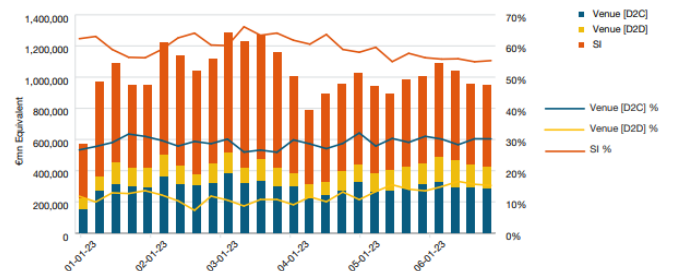


- iv. [SMPC-European-Secondary-Bond-Market-Data-H1-2023-270923.pdf](#)






Weekly Sovereign Bond Volume



Weekly Sovereign Bonds Volume by Distribution Channel. (€mn equivalent)



- Traded volume for sovereign bonds in H1 2023 has increased by 2.7% compared to H1 2022, representing 53.8% of total traded volume in the full year of 2022;
- In both sovereign and corporate bonds, a decrease in average and median trade sizes is observed;
- The average trade size decrease varied between 10% and 37%, depending on the issuing country for sovereign bonds;
- For corporate bonds, the average trade size decrease from H1 2022 to H1 2023 ranges between 3% and 19%, depending on currency;

- *The only subclass where the average trade size seems to have increased were US issued sovereign debt, as well as USD denominated non sovereign debt;*
  - *In terms of number of trades, it is worth noting that trade counts have increased 21% for sovereign bonds and 8% on the credit side;*
  - *In both segments, bonds are mainly traded via systematic internalisers (SI) (59% in sovereign bonds and 56% in corporate bonds, respectively). We also analysed traded notional and trade count across different trade size bins, observing an increase in the proportion of SI trades as trade size increases;*
  - *Contrary to what has been observed on the sovereign bonds side, we could identify an increase in D2C transactions on the credit side, compared to H1, 2022.*
- v. A Revised EU MIFIR Framework: changes to market structure and public transparency requirements for derivatives that will occur as a result of revisions to the EU's MIFID II/MIFIR framework.
- Which derivatives are covered by public trade reporting under the revised MIFIR?
  - How will pre- and post-trade transparency requirements change (including deferrals)?
  - Understanding the designated reporter regime
  - Changes to instrument identification
  - Is a consolidated tape for derivatives in the pipeline?
- vi. Reform of the UK's Derivatives Transparency Regime; *how the transparency regime for derivatives may change as a result of smarter regulatory reform.*
- Smarter regulatory reform
  - How could the pre- and post-trade transparency requirements change?
  - Proposals for change to instrument identification
  - Understanding the designated reporter regime
- vii. Other Key MIFID/MIFIR Developments for Derivatives Markets
- Impact of the MIFID revisions on commodity derivatives
  - Changes to the derivatives trading obligation;  [ESMA; Public Register for the Trading Obligation for derivatives under MiFIR; 04Sep2023.pdf](#)
  - A smarter framework for post-trade risk reduction
  - Best execution under the revised rules
  - Understanding the trading venue perimeter
- c. **EMIR3 (April and September next year)**
- i. [11 trade associations have urged EU policymakers to delete the Active Account Requirement proposed in EMIR 3.0](#). The associations, which represent European end users of derivatives along with providers of clearing services, highlight the detrimental implications of the proposed requirement on EU capital markets, including fragmentation, loss of netting benefits, and making the EU less resilient to market stresses with no benefit to EU financial stability.
  - ii.  [esma74-362-853 emir validation rules for revised rts\\_its.xlsx](#)
  - iii.  [Gas & Power CCP Clearing "Special Relief" to end on 29th November; 03Oct2023.pdf](#)
  - iv.  [Mandatory-CCP-Clearing-of-Gilt-Repo-6-Sept-2023.pdf](#)
- d. **Benchmarks / LiBOR**
- i.  [Comparative Table of Available Term €STR Benchmark Rates Provision; ESMA WGRFR; 26Sep2023.pdf](#)

e. **Crypto & Digital Assets**

i.  [AFME & PwC new report entitled "Artificial Intelligence- Challenges and Opportunities for Compliance"; 25sEP202.pdf](#)

- Firstly, compliance professionals must understand how AI is being used – particularly in the Front Office - to provide effective advice and challenge to the business on implementation.
- Secondly, they need to explore how AI can be utilised within the Compliance function to improve efficiency.
- seeks to address two key areas:
  - a. How a firm’s use of AI affects the Compliance function and how the Compliance function provides the associated oversight and challenge; and
  - b. What opportunities exist for the Compliance function to adopt AI to improve its own functions and keep pace with deployment in the business.

Figure 1: What are the top 3 1LoD compliance processes/areas in your firm that would present the greatest opportunity for AI implementation? Figure 2: What are the top 3 risks concerning the Compliance function in relation to your business adopting AI?




f. **FX**

- ii. FSB: Thank you for agreeing to take part in the FX Global Code Survey. Further details regarding the survey content and the survey itself can be accessed here: [GFXC - FX Global Code Survey: 2023](#)
- Section A; Background Information - This section seeks to gather information about the type of respondents.
  - Section B; Awareness and Adoption of the Global Code - This section seeks to measure respondents' awareness and adoption of the Global Code.
  - Section C; Effectiveness of the Code as revised in 2021 - This section seeks respondents' view on the effectiveness of the Global Code as revised in July 2021 and its associated material.
  - Section D; 3-year review of the Code - This section seeks respondents' views on how the GFXC should approach its planned review of the Global Code in 2024.








**3. Reporting Topics and Queries**

- i. [FINRA AWC: TP ICAP Global Markets Americas LLC; Fined for Failing to Include "No Remuneration" Indicator in TRACE Reports; settled charges with FINRA for inaccurately reporting 600,000 transactions to the Trade Reporting and Compliance Engine due to its failure to include a "No Remuneration" indicator.](#)
-  [FINRA; TP ICAP Americas; Fined for Failing to Include No Remuneration Indicator in TRACE Reports; 20 Sep 2023.pdf](#)



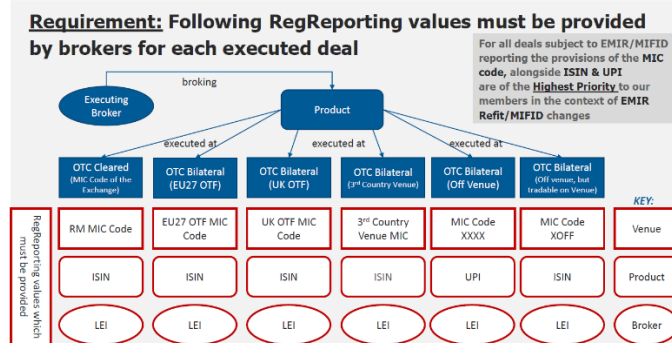
- ii. [Notice Of Disciplinary Action; CME; Effective Date 21 September 2023. Member: GFI Securities Limited](#). CME Rule Violations: Rule 526. Block Trades (In Part). The Exchange shall designate the products in which block trades shall be permitted and determine the minimum quantity thresholds for such transactions.
  - *The following shall govern block trades: F. Unless otherwise agreed to by the principal counterparties to the block trade, the seller, or, in the case of a brokered transaction, the broker handling the block trade, must ensure that each block trade is reported to the Exchange within the time period and in the manner specified by the Exchange.*
- iii.  [Questions arising from FCA Call on Transparency Adjustments; 02October2023.pdf](#)
- iv. FCA EMIR Refit Industry Engagement Group - Meeting themes
  - the focus for the first Engagement Group meeting on 5 October will be Transitional Arrangements. FCA will share draft Q&As a week in advance of the meeting and welcome any written feedback prior to the meeting so we have a chance to consider it.
  - For subsequent meetings, we have identified the themes below which we have tentatively ordered based on priority and number of questions received with proposed meeting dates. Our thinking is that it would be best to focus first on general issues applicable to most counterparties before moving onto the more specific areas, but we would welcome your feedback on this approach and want to hear if there are any particular topics you think need to be prioritised.

Topic	Proposed meeting date	Number of questions
Transitional arrangements	12 October	9
Reconciliations	2 November	12
Actions and Events	7 December	9
Derivative identifiers	4 January	7
Errors and omissions	8 February	6
Venues + Post-trade risk reduction services (PTRRs)	7 March	14
ETDs + Position level reporting	4 April	12
Margin & collateral + Clearing	2 May	11
Commodities + crypto	6 June	9

- v. On the UPI
  -  [UPI Service Alternative-Identifiers FAQ V1.1.pdf](#)
  - So should a member provide the UPI to clients who execute via one of the UK/EU venues or use those Arr&BrAb services?
  -  [CDIDE202373\\_DDE IRG\\_20 Sept\\_Draft Agenda.pdf](#)
  -  [DTCC North America working group UPDATE; 01Sept2023.pdf](#)
  -  [Notes; DTCC North America working group; 20Sept2023.pdf](#)
  -  [Notes; DTCC North America working group; 27Sept2023.pdf](#)
- vi. On the UTI / TVTIV / RTN [see notes]
  -  [CDIDE202377\\_Sooner Reporting Deadline FX Swaps\\_Barriers\\_FINAL.pptx](#)
  -  [CDIDE202378 DDE IRG-2023 09-Item-Underlier ID \(Other\).docx](#)

- vii. EFET NFCs Meeting on EMIR3 Data points from TVs/Brokers [see notes]

**MIC,UPI, ISIN Request to Brokers - Requirements EFET**



- viii. Transaction Reporting Questions Arising:

- regulatory text regarding novation's not being reportable related to derivatives contracts:
- First stab at a guidance note for Field #59; Transaction Reporting - For edit / rewrite

- ix. T+1 JTAG Taskforce:

- SteerCo are meeting on Friday
  - a. ESMA's proposed work in this space. Our understanding is that a public call for evidence will be launched imminently (within days/weeks) and their ambition is to complete a cost-benefit analysis / impact assessment by mid-2024.
- [Markets brace for FX headaches with T+1 settlement; Wall Street's Need for Speed in Stocks Is Reshaping the FX World; 27Sep2023.pdf](#)

- x. [Qomply.co.uk/restricted/roundtables/sept2023/QomplyRoundtable20230919\\_.mp4](#); With Ashurst's Jake Green on Transaction Reporting. *Do it any way with the FCA, but demonstrate commitment, effort, structure, responsibility mapping, E&O checking; and governance oversight*

- Reception, Transmission of Orders, or Dealing as Agent: "No-one knows what they mean"
- Making an effort & Taking Control; Remediation will be years post-fact; S166's
- Back Reporting, Error Reporting and MDP Data extracts
- Lack of validations within the ARM / APA
- Accountability and mapping within firm for transaction reporting [governance structures]

- xi. [MiFIR Transaction Reporting - Keeping on the Right Side of the Regulator](#); Qomply Breakfast Roundtable Thurs 19 October, 8.30am

- Michelle Zak from Qomply will join Alex Chow from the Investment Association, and Zach Johnson and Judy Leung from Kroll to discuss the following topics:
- Common errors made by firms across the industry
- How to handle remediation projects and interaction with the FCA
- Horizon scanning—possible future changes

- xii. [CFTC orders three major US banks to pay over \\$50 million for swap-reporting failures; strong statements; 30September2023.pdf](#)

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- xiii. [StoneX Markets Fined for Pre-Trade Mid-Market Mark Compliance Failures](#); swap dealer [settled](#) charges for failing to adhere to pre-trade mid-market mark ("PTMMM") compliance requirements.
- b. **Exchange Blocks**
- i. Takeaways from the CME/ EVIA-LEBA Compliance Roundtable 0815 on Tuesday September 12th
  - ii. ICE - CME alignment
- c. **Energy and Commodities**
- i. [The new offshoot EU emissions trading scheme – EU ETS 2; 20Sep2023.pdf](#)
- d. **Prudential**
- i. [FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
  - ii. [FCA's Simon Peters & Karishma Parmar comments about ICARA under IFPR; 05Sep2023.pdf](#)
- e. **Other**
- i. [MAS publishes Enforcement Report 2022-2023; 02Oct2023.pdf](#) - key areas of focus are:
    - market abuse (including insider trading, false trading and disclosure-related breaches);
    - financial services misconduct (including mis-selling of financial products, breaches of business conduct rules and serious unfitness and impropriety);
    - ML-related control breaches; and
    - leveraging technology
- 










## Annexes, Links and Details

### 4. Sanctions

- a. [FCA review of Sanctions systems and controls; 10Sep2023.pdf](#)
- b. [EU Consolidated Sanctions List](#): 03Oct2023 update
- c. **Frozen Assets Reporting 2023**; Every year HM Treasury carries out a review of frozen assets to update its records and to capture any changes during the reporting period. All persons that hold or control funds or economic resources belonging to, owned, held, or controlled by a designated person are required to submit a report to [OFSI](#) by Friday 10 November 2023.
- d. **Uncut gems**; Belgium has given up its blockade of sanctions on Russian diamonds, but a proposal to do so on its own terms has sparked the ire of the diamond industry including the world's largest producer De Beers, just weeks away from a G7 system being announced.

### 5. Latest FCA & BOE Policy Development updates

- a. [FCA / PRA - Consultation Papers on Diversity and Inclusion \("D&I"\) – a deeper dive](#)
- b. [FCA - changes to Form As accessed via Connect](#)
- c. [FCA/PRA – the murky world of non-financial misconduct \("NFM"\)](#)

- d. [FCA - Multi-firm review findings on Authorised Fund Managers \("AFMs"\) assessments of funds value & There are a couple of governance and iNED related matters to specifically highlight that the FCA found](#)
- e. [FCA - Report on UK Payment Accounts: access and closures](#)
- f. FCA Decision Notices and Final Notices
- [FCA vs Seiler, Raitzin and Whitestone](#)
  - a fine of £681,536 on [Ms Toni Fox](#) (an SMF 3 and SMF 16), and a fine of £632,594 on [Mr David Price](#) (an SMF 3 and SMF 17)
  - a fine of [Mr Andrew Allen](#) £25,606 and [Mr Keith Dickinson](#) £245,914 (both CF1s (Directors) and CF30s (Customer))
  - [FCA fines ADM Investor Services International Limited £6,470,600 for serious financial crime control failings](#)
  - [FCA bans Simon Hughes for failures in advice given to British Steel Pension Scheme Members](#)
  - [FCA takes action against Darren Reynolds and Andrew Deeney of Active Wealth for dishonest pension transfer advice](#)
  - [FCA bans Keith Dickinson and Andrew Allen for British Steel Pension Scheme advice failings, with £155k to be paid in compensation](#)
  - [Two individuals face bans and £1.3m fine for pension transfer advice failings](#)
- g. [FCA Dear CEO Letter: Wholesale banks portfolio analysis and strategy forum & !\[\]\(cdf2842d82858164c68c92720a337fb9\_img.jpg\) FCA's latest Dear CEO letter to wholesale banks focuses on a robust control environment; 20Sep2023.pdf](#)
- Risk Management
  - Standard of control
  - Operational Resilience
  - Diversity equity and inclusion
  - Non-financial misconduct
- h. [FCA – Dear CEO letter – supervisory strategy for principal trading firms](#) & NRF latest Regulation Tomorrow Plus [podcast](#), Jonathan Herbst, Hannah Meakin and Anita Edwards discuss the key points covered in the FCA's recent portfolio letter to CEOs of 'principal trading firms' and consider the next steps
- i.  [FCA Speech by Sarah Pritchard; The role of regulation in encouraging investment in the City; 28Sept2023.pdf](#)
- j.  [FCA & PRA consult on measures to boost diversity and inclusion in the financial sector; 26Sep2023.pdf](#)
- k.  [Questions arising from FCA Call on Transparency Adjustments; 02October2023.pdf](#)
- l.  [FCA outreach; Industry engagement roundtables on the UK Investment Research Review \(IRR\); 02Oct2023.pdf](#)
- m.  [FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
- n.  [Riksbank & BOE have re-affirmed their existing strong commitment to effective oversight cooperation LCH; 21Sep2023.pdf](#)
- o.  [FCA publishes update report on wholesale data market study; 01Sep2023.pdf](#)
- p.  [FCA Discussion on a Transactions Reporting Standing Group; 08Sept2023.pdf](#)
- q.  [FCA publishes findings from its assessments of firms' sanctions systems and controls; 10Sep2023.pdf](#)
- r. [FCA letter on preparations to comply with the cryptoasset financial promotions regime and rules; 10Sept2023.pdf](#)

- s. [PDF FCA supervisory letter puts wholesale banks on notice; 27Sep2023.pdf](#)
- t. [PDF BOE refines its new competitiveness mandate; 18Sep2023.pdf](#)
- u. [PDF FCA Handbook Notice No 112; ICARA & ETF Transparency; 29Sep2023.pdf](#)
- v. [PDF FCA \[FB\] attending the Monday call at 1100; 02October2023.pdf](#)
- w. [PDF FCA publishes speech on calibrating controls to build confident markets; 10Sept2023.pdf](#)
- x. [Word FTC Response to CP23-15 Consolidated Tape V1.3 \(002\).docx](#)
- y. [New screening checks required to approve financial adverts](#)
- z. [FCA sets expectations ahead of incoming crypto marketing rules](#)
- aa. [FCA launches review of treatment of Politically Exposed Persons](#)
- bb. [It's time for an Enlightenment on financial inclusion](#); Speech by Nikhil Rathi, at PwC Glasgow for the Scottish Financial Enterprise: Extending Financial Inclusion event.
- cc. [Calibrating controls to build confident markets](#); Speech by Sarah Pritchard, Executive Director of Markets and International at the Financial Crime Summit 2023 by 1LoD.
- dd. [The role of regulation in encouraging investment in the City](#); Speech by Sarah Pritchard, FCA Markets and Executive Director: Future of UK Capital Markets Regulation event.
- ee. [Open markets and common causes: International collaboration and the modernisation of financial services regulation in the UK](#); Speech by Ashley Alder, Chair, delivered at the Eurofi Conference
- ff. On 14 September 2023, the Financial Ombudsman Service (FOS) published its [quarterly complaints data](#) for Q1 2023/24.
- gg. FMSB precious metal compendium; *On 12 September 2023, the Financial Markets Standards Board (FMSB) published a compendium: [Precious metals market evolution](#).*
- hh. [PDF BOE refines its new competitiveness mandate; 18Sep2023.pdf](#)

## 6. UK Government

- a. [PDF European, UK & Swiss Regulatory & Political News; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
- b. [PDF European, UK & Swiss Regulatory & Political News; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- c. [PDF European, UK & Swiss Regulatory & Political News; Week 36; 04th Sep 2023 to 09th Sep 2023.pdf](#)
- d. [PDF Note on Norton Rose Fulbright with FCA; Markets Infrastructure- The future of the UK; 27Sep2023.pdf](#)
- e. [PDF MiFIR2 & MiFID3 After Brexit; Divergence emergence; 25Sept2023.pdf](#)
- f. CoL; [PDF Nature finance TA presentation.pdf](#)
- g. CoL; [PDF Vision for Economic Growth - 18.09.23.pdf](#)
- h. [PDF CoL Party Conferences One-Pager 2023.pdf](#)
- i. [PDF LSE Group chief hits back at 'clickbait' criticism of the City; 21Sep2023.pdf](#)
- j. [HM Treasury - Response to consultation on payments regulation and systemic perimeter](#)
- k. [PDF HM Treasury and PRA issue consultations on ring-fencing; 30Sep2023.pdf](#)
- l. [PDF Economic Crime and Corporate Transparency Bill; update; 06Sep2023.pdf](#)



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

- a. [PDF EVIA Prudential Roundup; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
- b. [PDF EVIA Prudential Roundup; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- c. [PDF EVIA Prudential Roundup; Week 36; 04th Sep 2023 to 09th Sep 2023.pdf](#)
- d. [PDF ESAs report on the landscape of ICT third-party providers in the EU; 30Sep2023.pdf](#)
- e. [PDF XVA at the Forefront; Addressing Key Financial Challenges; 28Sep2023.pdf](#)
- f. [PDF FSB publishes consultation on financial resources and tools for resolution of CCPs; 02Oct2023.pdf](#)
- g. [PDF FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
- h. [PDF FCA's Simon Peters & Karishma Parmar comments about ICARA under IFPR; 05Sep2023.pdf](#)
- i. [PDF BoE publishes speech on the PRA's new competitiveness and growth objective; 22Sep2023.pdf](#)
- j. [PDF Riksbank & BOE have re-affirmed their existing strong commitment to effective oversight cooperation LCH; 21Sep2023.pdf](#)
- k. [PDF Banking book bother; ECB mulls intervention on uneven banking book reporting; 21sep2023.pdf](#)
- l. [PDF HM Treasury and PRA issue consultations on ring-fencing; 30Sep2023.pdf](#)
- m. [PDF FSB progress report on enhancing the resilience of NBFIs; 10Sept2023.pdf](#)
- n. [PDF EY; Market Risk under FRTB; 11Sep2023.pdf](#)
- o. [PDF FCA Handbook Notice No 112; ICARA & ETF Transparency; 29Sep2023.pdf](#)
- p. Banking Associations Say Basel Proposal Violates Administrative Procedure Act; *Several banking associations [urged](#) the Federal Reserve Board, the FDIC and the OCC to make public all data and analyses used to develop the recently proposed amendments on capital requirements for large banking organizations.*

## 8. EU Rules and ESAs

- a. [PDF European, UK & Swiss Regulatory & Political News; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
- b. [PDF European, UK & Swiss Regulatory & Political News; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- c. [PDF European, UK & Swiss Regulatory & Political News; Week 36; 04th Sep 2023 to 09th Sep 2023.pdf](#)
- d. [PDF EMIR Refit introduces wholesale change at a granular level for EMIR reporting; 27Sep2023.pdf](#)
- e. [PDF EU Council commences discussions on digital euro proposal; 29Sep2023.pdf](#)
- f. [PDF ESAs report on the landscape of ICT third-party providers in the EU; 30Sep2023.pdf](#) & [PDF ESAs specify criticality criteria and oversight fees for critical ICT third-party providers under DORA; 28Sep2023.pdf](#)
- g. [PDF Introductory statement in three charts; ECON hearing with the ECB President on 25 September 2023.pdf](#)
- h. [PDF ECB; Christine Lagarde; Hearing of the Committee on Economic and Monetary Affairs of the European Parliament; 26Sep2023.pdf](#)
- i. [PDF ECB Chartdeck; Philip Lane; Monetary policy transmission in the euro area; 27Sep2023.pdf](#)
- j. [PDF ECB; Christine Lagarde; Towards an orderly energy transition; 28Sep2023.pdf](#)

- k. [PDF ESMA Work Programme 2024; focus on digital change and the green transition; 28September2023.pdf](#)
- l. [PDF Inclusion of South Africa on AML blacklist requires ESMA to withdraw the recognition decision of JSE Clear; 28Sep2023.pdf](#)
- m. [European Central Bank \("ECB"\) Speech - How culture drives risk in banks and what supervisors can do about it](#)
- n. [esma74-362-853\\_emir\\_validation\\_rules\\_for\\_revised\\_rts\\_its.xlsx](#)
- o. [PDF TAs call on EU to scrap initiative to move CCP novation out of London; 07Sep2023.pdf](#)
- p. [PDF ESMA; Public Register for the Trading Obligation for derivatives under MiFIR; 04Sep2023.pdf](#)
- q. [PDF ESMA22-106-4548\\_Stakeholders\\_forward\\_planning\\_table\\_2023.pdf](#)
- r. [ESMA to launch Common Supervisory Action on MiFID II sustainability requirements](#)
- s. [PDF EU CBAM Implementing Regulation on the reporting obligations has been officially published; 21Sept2023.pdf](#)
- t. [PDF A new EU carbon trading scheme is being created for heating and transport fuel supply; 19Sep2023.pdf](#)
- u. [PDF ECB Speech; Philip R Lane; Disinflation and monetary policy in the euro area; 20Sep2023.pdf](#)
- v. [PDF ECB; Isabel Schnabel; Challenges for monetary policy at times of stubborn inflation; 20Sep2023.pdf](#)
- w. [PDF SUERF; Can a country leave the eurozone but remain in the EU; Boonstra; 20Sep2023.pdf](#)
- x. [PDF Spanish Presidency debriefs EP committees on priorities; 29Sep2023.pdf](#)
- y. [PDF European Parliament adopts its report on REMIT review; 10Sept2023.pdf](#)
- z. [SMPC-European-Secondary-Bond-Market-Data-H1-2023-270923.pdf](#)
- aa. [PDF ECON Committee debates EU clearing review; 10Sept2023.pdf](#)
- bb. [PDF A multi-speed Europe holds the key to EU enlargement; 26Sep2023.pdf](#)

## 9. Conduct/ Enforcement/ PFOF

- a. [PDF Conduct, Sanctions and Enforcement News; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
- b. [PDF Conduct, Sanctions and Enforcement News; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- c. [PDF Conduct, Sanctions and Enforcement News; Week 36; 04th Sep 2023 to 09th Sep 2023.pdf](#)
- d. [PDF CFTC orders three major US banks to pay over \\$50 million for swap-reporting failures; strong statements; 30September2023.pdf](#)
- e. [PDF 10 Firms Fined by CFTC for Failing to Preserve Electronic Communications; 02October2023.pdf](#)
- f. [PDF ESMA Work Programme 2024; focus on digital change and the green transition; 28September2023.pdf](#)
- g. [PDF FCA Speech by Sarah Pritchard; The role of regulation in encouraging investment in the City; 28Sept2023.pdf](#)
- h. [PDF LEBA Notes; Reed Smith's Webinar; Third Quarterly Investigations & Enforcement Series.pdf](#)
- i. [PDF FCA & PRA consult on measures to boost diversity and inclusion in the financial sector; 26Sep2023.pdf](#)
- j. [PDF FCA outreach; Industry engagement roundtables on the UK Investment Research Review \(IRR\); 02Oct2023.pdf](#)
- k. [PDF 10 Firms Fined by CFTC for Failing to Preserve Electronic Communications; 02October2023.pdf](#)

- l. [PDF](#) [EVIA Draft; Best Practice on Transaction Reporting multiple Executing broker process for #Field59; 04Sep2023.pdf](#)
- m. [PDF](#) [FCA Discussion on a Transactions Reporting Standing Group; 08Sept2023.pdf](#)
- n. [PDF](#) [FCA publishes findings from its assessments of firms' sanctions systems and controls; 10Sep2023.pdf](#)
- o. [FCA Decision Notices and Final Notices](#)
- [FCA vs Seiler, Raitzin and Whitestone](#)
  - [a fine of £681,536 on Ms Toni Fox \(an SMF 3 and SMF 16\), and a fine of £632,594 on Mr David Price \(an SMF 3 and SMF 17\)](#)
  - [a fine of Mr Andrew Allen £25,606 and Mr Keith Dickinson £245,914 \(both CF1s \(Directors\) and CF30s \(Customer\)\)](#)
  - [FCA fines ADM Investor Services International Limited £6,470,600 for serious financial crime control failings](#)
  - [FCA bans Simon Hughes for failures in advice given to British Steel Pension Scheme Members](#)
  - [FCA takes action against Darren Reynolds and Andrew Deeney of Active Wealth for dishonest pension transfer advice](#)
  - [FCA bans Keith Dickinson and Andrew Allen for British Steel Pension Scheme advice failings, with £155k to be paid in compensation](#)
  - [Two individuals face bans and £1.3m fine for pension transfer advice failings](#)
- p. [PDF](#) [GTAG reports on the treatment of green financial products & taxonomy reporting; 10Sept2023.pdf](#)
- q. [FCA letter on preparations to comply with the cryptoasset financial promotions regime and rules; 10Sept2023.pdf](#)
- r. [PDF](#) [FCA publishes speech on calibrating controls to build confident markets; 10Sept2023.pdf](#)
- s. [PDF](#) [Comments & Questions Regarding EMIR Refit Data in OMP & Broker Confirmations; EFET Regulatory Reporting Request to Brokers - MIC; ISIN; UPI; 20Sept2023.pdf](#)
- [PDF](#) [2023-08-10 EFET MIC\\_ISIN\\_UPI\\_Request\\_UPDATE\\_8.pdf](#)
  - [XLS](#) [esma74-362-853\\_emir\\_validation\\_rules\\_for\\_revised\\_rts\\_its.xlsx](#)
  - [XLS](#) [ICE\\_Active\\_ISINs\\_for\\_20230920.xlsx](#)
  - [PDF](#) [Using MIC Codes for Third Country Venues Instead of XOFF; EMIR Refit; 09Aug2023.pdf](#)
  - [PDF](#) [In deciding when to use XXXX of XOFF for UK and EEA firms; Sept2023.pdf](#)
- t. [FINRA Seeks to Expand Reporting Requirements for Transactions in Trace-Eligible Securities; 2021 Rule extension .pdf](#)
- u. [PDF](#) [OTC Deriv Identifiers; ANNA-DSB.pdf](#)
- v. [PDF](#) [EMIR REFIT & navigating the details reporting tracking number is not a TVTIC; 09Aug2023.pdf](#)
- w. [PDF](#) [Reporting FX Swaps Within One Transaction Report under EMIR REFIT; 09Aug2023.pdf](#)
- x. [PDF](#) [FCA's latest Dear CEO letter to wholesale banks focuses on a robust control environment; 20Sep2023.pdf](#)
- y. [PDF](#) [ESMA22-106-4548\\_Stakeholders\\_forward\\_planning\\_table\\_2023.pdf](#)
- z. [PDF](#) [CFTC Orders Chicago-based Advantage Futures LLC to Pay \\$395,000 for Supervision Failures; Release Number 8779-23; September 20, 2023.pdf](#)
- aa. [PDF](#) [CFTC Orders StoneX Markets to Pay \\$650,000 for Violations of Swap Business Conduct Standards; Release Number 8778-23; September 20, 2023.pdf](#)

- bb. [PDF CFTC Grants Two Whistleblower Awards Totaling Over \\$15 Million; Release Number 8777-23; September 20, 2023.pdf](#)
- cc. [CFTC Division Director McGinley Defends Enforcement Actions Against DeFi Firms](#); CFTC Division of Enforcement Director Ian McGinley indicated that decentralized finance (or "DeFi") markets will be a "significant and continuing focus" for the Division going forward.
- dd. [PDF FCA supervisory letter puts wholesale banks on notice; 27Sep2023.pdf](#)
- ee. [PDF CDIDE202373\\_DDE IRG\\_ 20 Sept\\_ Draft Agenda.pdf](#)
- ff. [PDF Notes; DTCC North America working group; 20Sept2023.pdf](#)
- gg. [PDF Notes; DTCC North America working group; 27Sept2023.pdf](#)
- hh. [PDF FCA Handbook Notice No 112; ICARA & ETF Transparency; 29Sep2023.pdf](#)
- ii. [PDF Summary notes of AFME's Compliance and Legal Conference; 29September2023.pdf](#)
- jj. [PDF UPI Service Alternative-Identifiers FAQ V1.1.pdf](#)
- kk. [PDF MAS publishes Enforcement Report 2022-2023; 02Oct2023.pdf](#)

## 10. Cybercrime/ AML/ KYC/ Reg Tech

- a. **JMLSG revised guidance receives ministerial approval**; On 20 September 2023, the Joint Money Laundering Steering Group (JMLSG) received [HM Treasury ministerial approval](#) of revisions to Part II Sector 22 (Cryptoasset providers and custodian wallet providers) of its Guidance. This also includes the new Sector 22 Annex 1 relating to cryptoasset transfers (Travel Rule) and related updates to Sector 22.
- b. [FCA Cyber Coordination Group](#); Q3 TACIG Session today
  - i. [Q2 2023 TACIG Meeting Minutes .pdf](#)
  - ii. 14:00 – Meeting Opening (Matt Wood)
  - iii. 14:05 – Impact to the Financial Sector on Quantum Computing (Adam Avars)
  - iv. 14:35 – Threat Intel Sharing (Matt Wood)
  - v. 15:10 – STAR FS Update (Luke Vile)
  - vi. 15:30 – CMORG Conference Update/Feedback (Matt Wood)
  - vii. 15:55 - AoB
- c. Thank you again EVIA for agreeing to speak at the [City & Financial Market Abuse Summit](#) due to take place on 27<sup>th</sup> February 2024.
- d. [PDF Inclusion of South Africa on AML blacklist requires ESMA to withdraw the recognition decision of JSE Clear; 28Sep2023.pdf](#)
- e. [PDF 10 Firms Fined by CFTC for Failing to Preserve Electronic Communications; 02October2023.pdf](#)
- f. [PDF CFTC orders three major US banks to pay over \\$50 million for swap-reporting failures; strong statements; 30September2023.pdf](#)
- g. [Themis Newsletter - September Edition](#).
  - i. Modern Slavery and Human Trafficking: [UAE seizes assets worth \\$354 million between March and July to combat money laundering](#).
  - ii. Modern Slavery and Human Trafficking: ['Business is booming for human traffickers because they know they'll get away with it'](#).
  - iii. Modern Slavery: [UK universities still taking cash payments for fees 'is money laundering risk.'](#)
  - iv. Corruption: [Indonesia attorney general launches graft probe into palm oil fund agency](#).

- v. Bribery and Corruption: [China insurance boss jailed for life in corruption crackdown.](#)

## 11. ESG Topics, D&I & Disclosures

- a. [ESMA to launch Common Supervisory Action on MiFID II sustainability requirements](#)
- b. [GTAG reports on the treatment of green financial products & taxonomy reporting; 10Sept2023.pdf](#)
- c. [NGFS conceptual framework for nature-related financial risks for action by central banks and financial supervisors; 10Sep2023 .pdf](#)
- d. [Taskforce on Nature-related Financial Disclosures published its recommendations; 22Sep2023.pdf](#)
- e. [Nature finance TA presentation.pdf](#)
- f. [Africa Climate Summit \(multi-sector\)](#)
- g. [Blue Economy update \(multi-sector\) Guidance on Blue-Themed Bonds](#)
- h. [Network for Greening the Financial System climate-related litigation guidance \(multi-sector\) & Report on micro prudential supervision of climate-related litigation risks:](#)
- i. [EBA occasional paper on climate stress testing \(financial institutions\)](#)
- j. [UK Government's new net zero plan \(multi-sector\)](#)
- k. [UK FCA upcoming ISSB consultation \(listed companies\)](#)
- l. [GTAG paper on the UK Taxonomy \(multi-sector\) \[first paper\]](#)
- m. New corporate climate disclosure rules passed in California (multi-sector); [SB-253](#) the "Climate Corporate Data Accountability Act" and [SB-261](#), "Greenhouse gases: climate-related financial risk
- n. [The SEC adopts amendments to the funds "Names Rule" \(asset management\)](#)
- o. [Hong Kong Monetary Authority \(HKMA\) issues principles on net zero transition \(financial institutions\)](#)
- p. [GFANZ announces Hong Kong Chapter to Support Asia-Pacific Net Zero Transition \(financial institutions\)](#)
- q. [New Zealand new Climate Disclosure Standards \(asset management\)](#)
- r. [India SEBI minimum ESG equity fund requirements \(asset management\)](#)
- s. EU Commission consults on SFDR implementation (multi-sector) ; [first consultation](#) & [second publication](#)
- t. [TNFD Sector Guidance and Sector Disclosure Metrics open for feedback \(multi-sector\)](#)
  - i. [Additional guidance for financial institutions:](#)
  - ii. [Discussion paper on proposed sector disclosure metrics:](#)
  - iii. [Discussion paper on proposed approach to value chains:](#)
- u. [UK TAC call for evidence on the IFRS disclosure standards \(multi-sector\)](#)
- v. [NZAOA Public Consultation Target Setting Protocol Version 4 \(asset owners\)](#)
- w. [IAASB public consultation on proposed global sustainability assurance standard \(assurance practitioners\)](#)
- x. [Japan's FSA consults on impact investing framework \(asset management\)](#)
- y. [International Impact Accounting Methodology \(multi-sector\)](#)

## 12. Energy & ACER

- a. [Energy and Commodities Roundup: Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)



- b. [PDF Energy and Commodities Roundup; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
- c. [PDF Energy and Commodities Roundup; Week 36; 04th Sep 2023 to 09th Sep 2023.pdf](#)
- d. [ACER would like to invite LEBA to the 7th REMIT Forum](#) dedicated to the current revision of REMIT. The event will take place on Tuesday, 5 December 2023 as a virtual meeting

7th ACER REMIT Forum		DRAFT AGENDA FOR INVITED SPEAKERS	
<b>REMIT II: Improving integrity and transparency in wholesale energy markets</b>			
5 December 2023   09:00 to 16:30 CET			
Online, MS Teams platform			
DRAFT AGENDA FOR INVITED SPEAKERS		DRAFT AGENDA FOR INVITED SPEAKERS	
08.50 - 09.00	<b>Webinar open for log-in</b>	Starts promptly at 09:00	
09.00 - 09.45	<b>Opening and welcome address</b>		
	Opening address: Christian Zinglens, ACER Director (tbc)		
	Professor Maria da Graça Carvalho, Member of the European Parliament, ITRE Committee (tbc)		
	Maria Jimenez Navarro, Energy Coordinator Counsellor, Spanish Presidency of the Council of the European Union (tbc)		
Ditte Juul Jørgensen, Director General, DG ENER, European Commission (tbc)			
Tina Sersen, State Secretary of Energy, Ministry of the Environment, Climate and Energy of the Republic of Slovenia (tbc)			
SESSION I: REMIT REVISED			
09.45 - 10.30	<b>Review of the main changes</b>	Luckaz Lisicki, Policy Officer, DG ENER, European Commission (confirmed)	
10.30 - 10.45	<b>Q&amp;A</b>		
10.45 - 11.00	<b>Break</b>		
11.00 - 11.30	<b>Focus on strengthening REMIT investigations and enforcement</b>	Alberto Garcia, Senior Officer, ESMA (confirmed)	
11.30 - 12.45	<b>Panel discussion: main changes and strengthening of REMIT investigations and enforcement</b>		
	Martin Godfried, Head of Department for Market Surveillance and Conduct, ACER (confirmed)		
	Nina Grill-Edler, Head of ECRB section, Energy Community (confirmed)		
	Leigh Hancher, Director of the FSR Energy Union Law Area, FSR (confirmed)		
	Luckaz Lisicki, Policy Officer, DG ENER, European Commission (confirmed), Christian Baer, Secretary General, Europex (confirmed)		
Bernhard Walter, Head Market Design & Regulatory Affairs, ENBW AG and EFET Board Member (confirmed)			
Clara Poletti, Commissioner, ARERA and Chair of the Board of Regulators of ACER (tbc)			
Alexander Mc Donald, CEO, LEBA (tbc)			
12.45 - 12.55	<b>Q&amp;A</b>		
12.55 - 13.00	<b>Closing Remarks</b>	Martin Godfried, Head of Department for Market Surveillance and Conduct, ACER (confirmed)	
13.00 - 14.00	<b>Lunch Break</b>		
SESSION II: REMIT DATA AND LNG			
14.00 - 14.45	<b>Increasing the value of REMIT data</b>		
	Ziva Mitar, Policy Officer - Market Data Analytics, ACER (tbc)		
Iztok Zlatar, Team Leader - Market Data Analytics, ACER (confirmed)			
14.45 - 15.00	<b>Q&amp;A</b>		
15.00 - 16.00	<b>LNG price assessment and benchmark</b>		
	Iztok Zlatar, Team Leader - Market Data Analytics, ACER (confirmed)		
16.00 - 16.15	<b>Q&amp;A</b>		

- e. [PDF ECB; Christine Lagarde; Towards an orderly energy transition; 28Sep2023.pdf](#)
- f. [PDF In deciding when to use XXXX of XOFF for UK and EEA firms; Sept2023.pdf](#) & [PDF 2023-08-10 EFET MIC\\_ISIN\\_UPI\\_Request\\_UPDATE\\_8.pdf](#)
- g. [PDF UK offshore wind; auction failure strengthens hand of renewable energy industry; 10Sep2023.pdf](#)
- h. [PDF LEBA\\_Energy\\_Volume\\_Report\\_August\\_2023.pdf](#)
- i. [PDF LEBA\\_Energy\\_Analysis\\_August\\_2023.pdf](#)
- j. [PDF Comments & Questions Regarding EMIR Refit Data in OMP & Broker Confirmations; EFET Regulatory Reporting Request to Brokers - MIC; ISIN; UPI; 20Sept2023.pdf](#)
- k. [PDF ACER invites you to the 7th Forum REMIT II; Improving integrity and transparency in wholesale energy markets.pdf](#)
- l. FMSB precious metal compendium; *On 12 September 2023, the Financial Markets Standards Board published a compendium: [Precious metals market evolution](#).*
- m. [PDF A new EU carbon trading scheme is being created for heating and transport fuel supply; 19Sep2023.pdf](#)
- n. [PDF REMIT Review; Market access barriers for third country counterparty firms.pdf](#)
- o. [PDF The new offshoot EU emissions trading scheme – EU ETS 2; 20Sep2023.pdf](#)
- p. [PDF European Parliament adopts its report on REMIT review; 10Sept2023.pdf](#)
- q. [PDF AFME; Views on the ESG Ratings Regulation; Sept2023.pdf](#)
- r. [PDF LSEG-Refinitiv Winter Gas outlook webinar; 26Sep2023.pdf](#)

- s. [PDF UK RES; The Success Story of CFDs is Turning Sour; 26Sep2023.pdf](#)

### 13. Market Regs: MiFID2.2/ MiFIR/ EMIR/ SFTR / CSDR

- a. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
- b. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- c. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 36; 04th Sep 2023 to 09th Sep 2023.pdf](#)
- d. [PDF Questions arising from FCA Call on Transparency Adjustments; 02October2023.pdf](#)
- e. [PDF FCA \[FB\] attending the Monday call at 1100; 02October2023.pdf](#)
- f. [PDF Note on Norton Rose Fulbright with FCA; Markets Infrastructure- The future of the UK; 27Sep2023.pdf](#)
- g. [PDF MiFIR2 & MiFID3 After Brexit; Divergence emergence; 25Sept2023.pdf](#)
- h. [PDF SMPC-European-Secondary-Bond-Market-Data-H1-2023-270923.pdf](#)
- i. [PDF EMIR Refit introduces wholesale change at a granular level for EMIR reporting; 27Sep2023.pdf](#)
- j. [PDF UPI\\_Service\\_Alternative-Identifiers\\_FAQ\\_V1.1.pdf](#)
- k. [PDF Summary notes of AFME's Compliance and Legal Conference; 29September2023.pdf](#)
- l. [PDF ESMA Work Programme 2024; focus on digital change and the green transition; 28September2023.pdf](#) & [PDF ESMA22-50751485-1368\\_- 2024\\_Annual\\_Work\\_Programme.pdf](#)
- m. [PDF Concerns mount over scale of Treasury market basis trade; 27Sep2023.pdf](#)
- n. [PDF ClarusFT; Central Clearing of US Treasuries; Amir Khwaja; 27 September 2023.pdf](#)
- o. [PDF XVA at the Forefront; Addressing Key Financial Challenges; 28Sep2023.pdf](#)
- p. [PDF Risk net; BGC's Eurex swap curve; basis killer; 27Sep2023.pdf](#)
- q. [PDF FCA Speech by Sarah Pritchard; The role of regulation in encouraging investment in the City; 28Sept2023.pdf](#)
- r. [PDF FCA outreach; Industry engagement roundtables on the UK Investment Research Review \(IRR\); 02Oct2023.pdf](#)
- s. [PDF FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
- t. [PDF FSB publishes consultation on financial resources and tools for resolution of CCPs; 02Oct2023.pdf](#)
- u. [PDF Acuiti; European-Attitudes-to-Trading-in-APAC; 02Oct2023.pdf](#)
- v. [PDF IRD Trading Activity Reported in EU, UK and US Markets; H1 2023 & Q2 2023; 21Sep2023.pdf](#)
- w. [PDF Comments & Questions Regarding EMIR Refit Data in OMP & Broker Confirmations; EFET Regulatory Reporting Request to Brokers - MIC; ISIN; UPI; 20Sept2023.pdf](#)
- x. [PDF AFME response to the FCA CP23\\_15; The Framework for a UK Consolidated Tape; 15Sep2023.pdf](#)
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- gg. [PDF](#) CP and CDs markets; a BIS primer; Quarterly Review; 18Sep2023.pdf
- hh. [PDF](#) BIS Quarterly; Margin leverage and vulnerabilities in US Treasury futures; 18Sep2023.pdf
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- e. [PDF](#) [BoE publishes speech on the transition away from Libor; Arif Merali; 10Sep2023.pdf](#)
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- b. [PDF](#) [Rates, FX, Credit and Equities Markets; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
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- e. [PDF](#) [BIS Envisages DeFi FX Spot Market After Mariana "Success"; 30Sep2023.pdf](#)
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- g. [PDF](#) [BIS; Bank positions in FX swaps; insights from CLS; 19Sep2023.pdf](#)
- h. [PDF](#) [ClarusFT; What's New in CCP Disclosures – 2023; Amir Khwaja; 05Sep2023.pdf](#)
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- n. [PDF](#) [ECB; Isabel Schnabel; Challenges for monetary policy at times of stubborn inflation; 20Sep2023.pdf](#)
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- q. [PDF](#) [Market 'not ready' for US Treasuries clearing mandate; DTCC et al at ISDA Forum; 21sep2023.pdf](#)
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- v. [PDF](#) [Remarks of CFTC Pham at Cato Institute, Staying Ahead of the Curve; Crypto Regulation and Competitiveness; 10Sep2023.pdf](#)
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## 18. Weekly Roundups for July 2023

- a. [EVIA Weekly News; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- b. [EVIA Weekly News; Week 38; 18th Sep 2023 to 23rd Sep 2023.pdf](#)
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