
EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 07th June 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 07 June 2023.pdf](#) & [Updated-OTC-Derivatives-Compliance-Calendar-2023-6-1.pdf](#)
- c. [FCA Regulation round-up May 2023; 25May2023.pdf](#)
- d. On 2 June 2023, the FCA published [Quarterly Consultation No 40](#). The FCA is proposing to:
 - i. Make corrections and clarifications to MIFIDPRU 7 and SUP 16.
 - ii. Introduce a post-trade transparency deferral for exchange traded fund transactions executed at net asset value.
 - iii. Clarify the scope of the ban on offering retail clients incentives to invest in high-risk investments.
 - iv. The deadline for comments to Quarterly Consultation No 40 is 10 July 2023.
 - v. [FCA proposed changes in QC#40 to MIFIDPRU 7.9 to ensure individual firm ICARAs are the norm rather than at group level; 06Jun2023.pdf](#)
- e. [Open Consultations & Legislative Timetables; 06 June 2023.pdf](#)
- f. Strong Transactional Volumes in 2023 to date; [April 2023 SEF Tracker; 19May2023.pdf](#) (published mid-May) - [SwapsInfo First Quarter of 2023 Review; ISDA Summary; 07May2023.pdf](#) & [Note; CLS FX volumes report for April 2023; 23May2023.pdf](#)

Standing Topics

a. Conduct

- a. Aged Brokerage; Survey Structure; [EVIA Outstanding Receivables Survey of UK entities for FCA; April 2023.xlsx](#)
- b. [FCA fines ED&F Man Capital Markets Ltd £17.2m for Cum-Ex failings in illegitimate tax reclaims; 06June2023.pdf](#) & [FCA Final Notice; ED&FMan-capital-markets-ltd-2023.pdf](#)
- c. Comms again: [CFTC Orders BNS to Pay a \\$15 mm Penalty for Recordkeeping and Supervision Failures for Widespread Use of Unapproved Communication Methods; 11May2023.pdf](#) & [HSBC and Scotia Capital settled SEC charges for WhatsApp Comms; 20May2023.pdf](#)

d. **SMCR Review;**

- i.  [AFME and UKF response to PRA-FCA DP1.23 SMCR Review final: 31May2023.pdf](#) & [AFME and UKF response to HMT's Senior Managers & Certification Regime Call for Evidence; 31 May 2023.pdf](#)
 - ii.  [UK authorities review the Senior Managers & Certification Regime - Evolution, not revolution; 02May2023.pdf](#)
 1. 8 questions
 - iii.  [PRA & FCA; Senior Managers & Certification Regime – a Call for Evidence: 31 March 2023; 22 Questions; Closes 01June2023.pdf](#)
 - iv. [Notes from S&S "Flash Call on UK SMCR Review; 03 April 2023.pdf](#)
 1. Competition
 2. Proportionality
 3. Scope Creep and actual deliverables
 4. Clarity, Gaps, Technical
 5. Regulatory References
 6. 12 Week Rule
 7. Impact of Overseas Staff
- e. **FCA's Trade Association Co-ordination Committee (TACC) will take place Monday 26 June 3:00pm-5:00pm.** to ask attendees whether there are any topics of interest you would like to have discussed during the meeting.
- f.  [Notes on Bovill webinar; ~Managing market abuse risk~; Thursday 04 May 2023.pdf](#)
- g. [NRF Webinar: Changes to the Appointed Representatives regime; Tuesday, June 20, 2023](#); to explore the changes to the Appointed Representatives (AR) regime in the UK. In this session shall focus on:
- i. the HM Treasury review of the legislative framework, and what this means for the future;
 - ii. how principal firms should approach new governance and oversight arrangements for representatives;
 - iii. practical steps for principal firms undertaking their first annual review of representatives this year;
 - iv. lessons from recent enforcement action; and
 - v. what all of this means for UK market access: is this the beginning of the end for 'regulatory hosting'?
- h. This NRF this [briefing note](#) sets out some practical tips that firms may want to consider in respect of four related areas: (i) committees and the Board; (ii) management information; (iii) information and escalation routes; and (iv) policies and procedures.
- i. [ESMA letter on the prioritisation and deprioritisation of 2023 deliverables; 13May2023.pdf](#)
- j. HMT Call for Evidence of Marking the Regulators
- k.  [Verena_Ross_Keynote_speech_at_ICMA_AGM.pdf](#)







b. **Rule Books**

- a.  [MiFID3 & MiFIR2 Trilogue Brief; 24April2023.pdf](#) &  [MiFIR MiFID 1st political trilogue 18.04.2023 - Flash note.pdf](#)
 - i. [Letter to the European Commission on the MiFIR review – transparency regime for single name-CDS and standardised OTC-derivatives:](#)

1. [ISDA: Q1 single name CDS trading up 64% over last year](#)
2. ICE CDS Migration Outcomes Complete - [Ice retains lion's share of positions at shuttered European CDS service, but LCH gets more clients; 06May2023.pdf](#)
- ii. [PDF ESMA clarifies that the Amended rules for transparency calculations to start applying on 05 June 2023.pdf](#)
- iii. [PDF Q to FISMA regarding the meaning of the year following publication in RTS 2, Art13, new Para 17; 26May2023.pdf](#)
- iv. [ESMA Annex to Transparency Opinion; Updated for June2023](#)
- v. [PDF ESMA has published a final Opinion on market outages; 25May2023.pdf](#)
- vi. [PDF MiFIR2-D3 trilogies underway, marking the review endgame; 04May2023.pdf](#) & EFAMA Criticise CTP Watering Down
- vii. Competition to get anointed as EU CTP Operator
- b. FCA Multilateral Perimeter Publication Timing and Prospects
 - i. [PDF ESMA statement highlighting the risks arising from the provision of unregulated products and/or IF services; 25May2023.pdf](#)
- c. [PDF FCA Setting Out Reform Plans for Derivatives under UK MiFIR; 01June2023.pdf](#)
- d. **T+1**
 - i. US Migration to T+1 (Workstream 1)
 1. ACTION: Associations to share feedback with AFME on Workstream 1 output by COB Friday 23 May
 2. ACTION: AFME to circulate consolidated feedback / draft outline for proposed report by COB Wednesday 31 May
 - ii. Potential EU Migration to T+1 (Workstream 2)
 1. ACTION: Associations to provide feedback by COB 31 May on:
 2. If they would like to chair any of the Working Groups
 3. If they would like to participate in the coordination sub-group
 4. ACTION: AFME to draft Terms of Reference by COB 31 May
 - iii. [PDF Notes from EU T+1 Industry Task Force Second Meeting; 09May2023.pdf](#)
 - iv. [T+1](#) & [PDF EVIA Note; JTAG Call on Wholesale Markets, UK Onshoring, CMU and related issues; 16May2023.pdf](#)
 - v. [PDF European T+1 Industry Task Force Update, ToRs, Drafts; 06June2023.pdf](#)
 - vi. [PDF gfxd-fx-considerations-for-t1-u.s-securities-settlement-may23-003.pdf](#)
- e. **Benchmarks / LiBOR**
 - i. More from the ARRC on no Term SOFR
 - ii. [PDF FCA final message one month ahead of the cessation of the last USD Libor panel; 01Jun2023.pdf](#)
 - iii. June 15th BMR Overseas Renewal date – Comments from DG FISMA
 - iv. [PDF OSTTRA; US Races Ahead of EU in Post-Brexit Euro Swaps Trading Mar 2023 data; FT Comment; 20May2023.pdf](#) & [OSTTRA Note on Trading Location](#)
 - v. [PDF IBOR reform; USD LIBOR deadline, the big one approaches; OSTTRA; Kirston Winters; 09May2023.pdf](#)
 - vi. [FS23/2: Decisions on US dollar LIBOR – feedback to CP22/21](#)
 - vii. [PDF ClarusFT; Term SOFR and BSBY Swap Volumes – May 2023; Amir Khwaja; 01June2023.pdf](#) & [ClarusFT; IDB Market Share In SOFR Swaps; Amir Khwaja](#)

- viii. [PDF ClarusFT; Now LCH Have Converted Your USD Swaps too; Chris Barnes; 01June2023.pdf](#)
- f. **Crypto & Digital Assets**
- i. Timelines for EU and UK projects - CDIDE were due to revert to the PC by the end of April. I'm not sure whether that has happened yet but you'd expect the proposal to be returning for discussion imminently.
 - ii. [PDF IOSCO consults on global crypto regulation; 02June2023.pdf](#)
 - iii. [PDF SEC files 13 charges against Binance; 06Jun2023.pdf](#) & [PDF SEC prosecute Coinbase product manager for insider front running; 01Jun2023.pdf](#)
- g. **FX**
- i. Discussions with UK Authorities on the global regulatory alignment of FX forwards, swaps, NDFs and Options
 - ii. [PDF GFXC Agenda for Annual Meeting; Mexico; 01 & 02 June 2023.pdf](#)
 - iii. A greater role for the Code: [PDF GFXC proportionality self-assessment tool aimed at further building buy side engagement with the FX Global Code; 06Jun2023.pdf](#)
- c. **Reporting Topics and Queries**
- a. **Transaction Reporting**
 - i. On ESMA schemas for the RTS 1 and 2 changes for firms to report their Quant and Ref Data
 - ii. Transaction Reporting Practice Standards;
 1. Case for a better regime or for official endorsement from the FCA regarding the use of INTC (Ditto ESMA) in order to properly codify/automate reporting generation
 2. NORE v Broker ID v MRT
 3. TRS Reporting
 - iii. Transparency Reporting
 1. Removal of Pre-trade requirements beyond CLOBs
 2. ESMA Comms on Transparency Templates and Priorities consequent to CP Response
 - iv. [PDF EVIA Response to AnnaDSB 2023 Annual Consultation OTC-ISIN; 26May2023.pdf](#)
 - v. RTN & Segment MICs
 - b. **UTI & UPI Transition**
 - i. DTCC: SEF Reporting under P43 / P45 – especially dealer queries on FX
 - ii. [Excel CFTC; Revised Post-Initial Appropriate Minimum Block Sizes and Post-Initial Cap Sizes for 04 Dec 2023.xlsx](#) & [PDF Part43_45BlockThresholdsCapSizes0423.pdf](#)
 - iii. [PDF Notes from DTCC Reporting Call; Wed 03 May 2023.pdf](#)
 - iv. [PDF Notes from DTCC NAWG Call on UPI & UTI; 10May2023.pdf](#)
 - v. [PDF Notes from the DTCC weekly NOA UPI_UTI WG Call; 24May2023.pdf](#)
 - c. **Exchange Blocks**
 - i. James Nicholls; Braithwaite – proposed meeting (v/p) on FINRA and US Securities & NFA Audits
 1. Updates to FINRA's financial responsibility (net capital + liquidity) rules

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2. Market structure developments (including a panel discussion on the SEC's proposed changes to NMS)
 3. Market regulation and transparency services priorities
 4. Getting the most out of FINRA's Membership Application Program
 5. Working with FINRA – effective practices and proactive dialog
 6. Leveraging RegTech
 7. CryptoAsset developments
- ii. [FIA Webinar today: Regulatory Keynote on EMIR Refit UK](#) -Carmel Deenmamode, Manager, Market Conduct & Post Trade Policy, FCA
1. Panel 1: Reg reporting landscape and requirements – compliance with UK EMIR/EMIR REFIT
 - a. *(EMIR Refit and changes to UK EMIR reporting rules brings wholesale changes to the existing reporting regime. In light of these changes, what are the key obstacles standing in the way of compliance and how can firms ensure readiness ahead of go-live in April 2024 (EU) and September 2024 (UK)?*)
 - b. Tim Hartley, EMIR Reporting Director, Kaizen Reporting
 - c. Suzanne Calcagno, Global Head of Regulatory Response and Oversight, HSBC Bank plc
 - d. Alexis Wiazmitinoff, EMIR Regulatory Reporting Specialist, Bloomberg LP
 - e. Lavinia Ponniah, Product Management – Director, DTCC
 2. Panel 2; Future state – Key data challenges and solutions
 - a. *Data quality issues continue to plague EMIR reporting. With the adoption of CPMI-IOSCO's CDE recommendations, do we expect to see improvements? Has global harmonisation efforts been successful in bridging the disconnect between global reporting regimes? How might initiatives such a Digital Regulatory Reporting and the FCA/Bank of England's joint Transforming Data Collection programme improve data challenges?*
 - b. Hannah Meakin, Partner, Norton Rose Fulbright LLP
 - c. Chad Giussani, Independent & former chair of FIA's EMIR Reporting Working Group
 - d. Katy Hyams, Head of Regulatory Policy, LME
 - e. Syed Riyazuddin, Executive Director, Global Head of Futures & Derivatives Clearing Regulatory Reporting Operations, JP Morgan
 - f. Pam Samrai, BDRSL Business Manager, Bloomberg LP
- iii. ICE reporting rules for soft EFPs. Extended from 15mins to 30mins last year but should really be end-of-day reporting window.
- iv. So the noise surrounding blocks has reduced a little now that ICE published the updated Blocks Policy. ICE will never be able to please everybody...there may still be issues/inconsistent interpretation but these should be raised to the Exchange.
- v. [Circular C23/055](#) - F&O Clearing: Introduction of Clearing for Additional ICE Futures US: Energy Division (IFED) Contracts.

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- vi. [Circular C23/054](#) - F&O Clearing: Margin Rates Update for ICE Futures Europe Emissions and ICE Endex Emissions Contracts
 - vii. [Circular E23/024](#) - MiFIR Pre-Trade Transparency: New LIS Thresholds per June 2023
 - 1. Further to Circular [E19/043](#), [E20/005](#), [E20/030](#), [E21/018](#) and [E22/008](#) relating to the [MiFIR pre-trade transparency requirements](#), ICE Endex Markets B.V. (the "Exchange") announces new large-in-scale ("LIS") thresholds for its Energy Derivatives that will become effective per Monday 5 June 2023.
 - 2. [MiFIR Large in Scale \("LIS"\) thresholds for block trades](#)
 - viii. [Circular E23/023](#) - Dormant Member Policy & Amendment of Market Rules
 - 1. With this Circular we advise our Members on (i) the introduction of a Dormant Member Policy, and (ii) an amendment to the Market Rules of ICE Endex Markets B.V. (the "Rules") implementing the Dormant Member Policy, effective as per 14 June 2023.
 - ix. [Circular 23/096 and Attachments](#) - Suspension and Removal from Trading of ICE Futures Europe Eris Euribor® Interest Rate Futures and Suspension from Trading of ICE Futures Europe Eris GBP Interest Rate Futures
 - x. [Circular 23/095](#) - MiFID II Regulatory Software Changes Release Date
 - xi. [Circular 23/094](#) - Cessation of admission to trading of certain ICE Futures Europe Oil Futures and Options contracts
 - xii. [Circular 23/086](#) - Extension of ICE Oil Liquidity Provider Programmes
 - xiii. [Circular 23/087 and Attachment](#) - Suspension and Removal from Trading of two MSCI Index Futures contracts
 - xiv. [Circular 23/088](#) - Extension to the Three Month SONIA Spreads Liquidity Provider Programme & [Circular 23/089](#) - Extension of the One Month SONIA Index Futures Liquidity Provider Programme
 - d. **Prudential**
 - i.  [Proportionality key to overlapping remuneration rules; 06June2023.pdf](#)
 - ii. Arranging FCA debrief on the first Round of ICARAs
 - e. **Energy and Commodities**
 - i. Automated Credit Module Uptake – Note on EFET Meeting in May
 - ii. EFET Requests for Seg-MIC and more in Affirmations
 - iii. Access to Operate Eastern European Markets – OPCOM/ DG Energy
 - iv. [FIA – FIA EPTA – ISDA comments on REMIT Review](#)
 - f. **Other**
 - i.  [CFTC GMAC requests input on proposed work program; 20May2023.pdf](#)
 - ii. CFTC's ruling on economically equivalent contracts. We expect CFTC to adopt a broader definition that will bring more swaps in scope regarding CFTC position limits etc. CFTC expected to come out guidance and definition in the coming months
 - iii.  [CFTC Fines HSBC Bank USA for manipulative & deceptive trading related in IRS re bond issuers and spoofing; 20May2023.pdf](#) &  [CFTC Orders BNS to Pay a \\$15 mm Penalty for Recordkeeping and Supervision Failures for Widespread Use of Unapproved Communication Methods; 11May2023.pdf](#)
 - iv.  [Launch of Swap Connect on 15th May 2023; HKEX Statement 06May2023.pdf](#) &  [HKMA issues guidance on regulatory capital treatment](#)

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- [in relation to Swap Connect; 20May2023.pdf](#) & [PDF On the launch of Swap Connect in HK; 15May2023.pdf](#)
- v. [PDF MAS to apply new derivatives reporting rules in Oct 2024; response to OTC derivatives trade reporting consultation; 20May2023.pdf](#)
- vi. [PDF Impact of DLT for Capital Markets; AFME-GFMA; 20230512.pdf](#) & [PDF AFME new report highlighting the potential transformative benefits of DLT for capital markets; 17May2023.pdf](#)
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
Annexes, Links and Details

d. Sanctions

- a. [PDF The EU's 11th package of sanctions on Russia; China complaints; 08May2023.pdf](#)
- b. [EU Updated Consolidated Sanctions List](#):
- c. The trust services sanctions came into effect on 16 December 2022. *With feedback from stakeholders this new [blog entry](#) aims to provide further clarity on themes arising from questions OFSI has received.*
- join HM Treasury's Office of Financial Sanctions Implementation for an introductory webinar following an intense year of change in financial sanctions. Representatives from across OFSI will explain its role and powers in its mission to ensure that financial sanctions are properly understood, implemented and enforced in the United Kingdom.
 - [This one-hour webinar will take place on Tuesday 28th February at 10:00AM GMT on Microsoft Teams Live.](#)
- d. UK - On 05 June 2023 [General Licence INT/2022/1552576](#) was amended to allow:
- Designated Person (DP) Representatives to pay funds to the London Court of International Arbitration (LCIA) to cover arbitration costs
 - DPs or DP Representatives to transfer funds to their legal representatives for onward payment to the LCIA to cover arbitration costs
 - Non-DP arbitral parties to pay substitute deposit(s) to the LCIA
- e. UK - On 06 June 2023 [General Licence INT/2022/2349952](#) was amended to allow the Grain and Feed Trade Association (GAFTA) to receive Funds and Economic Resources from any person in connection with the direct and indirect provision of services related to contracts for the trade in agricultural commodities, by or on behalf of GAFTA.
- f. The following entries have been removed from the [ISIL \(Da'esh\) and Al-Qaida financial sanctions regime](#) and are no longer subject to an asset freeze:
- Abd Al-Aziz Aday Zimin Al-Fadhil (Group ID: 13277)
 - Hamad Awad Dahi Sarhan Al-Shammari (Group ID: 13279)
 - This follows an update to the [UK Sanctions List](#), enacting the UN's decision made on 5 June 2023 to remove 2 entries.
 - [OFSI's consolidated list of asset freeze targets](#) has been updated to reflect these
 - Amended: Merai Abdefattah Khalil Zoghbi (Group ID: 8920)

- g. 1 entry has been added to the [Somalia financial sanctions regime](#) and 2 entries have been amended under the [Russia financial sanctions regime](#). The following entry has been added to the consolidated list and is now subject to an asset freeze:
- Abdullahi Osman Mohamed Caddow (Group ID: 15987)
 - This follows an update to the [UK Sanctions List](#), enacting the UN's decision made on 26 May 2023 to list 1 entry. The Somalia notice can be found [here](#).
 - Furthermore, the following entries have been amended under the Russia financial sanctions regime and remain subject to an asset freeze:
 - Vladimir Nikolaevich Lepin (Group ID: 15969)
 - Dmitry Vladimirovich Konov (Group ID: 14735)

e. FCA, AMF & BOE Policy Development updates

- a.  [BOE_PRA have published consultation paper CP9_23 setting out proposed changes to their enforcement policies; 04May2023.pdf](#)
- b.  [The FCA has set out actions to improve the confidence of whistleblowers; 13May2023.pdf](#)
- c.  [FCA Sarah Pritchard speech – How to change in response to changing threats; 20May2023.pdf](#) &  [Note of FCA's Sarah Pritchard Speech; Meeting the challenge in our changing global markets; 17May2023.pdf](#)
- d.  [FCA publishes first set of engagement papers on proposed equity listing rule reforms; 19May2023.pdf](#)
- e.  [FCA Chair Ashley Alder Speech; The drive for data in Non-Bank Financial Intermediation \(NBFI\); 18May2023.pdf](#) &  [Note; FCA Chair Ashley Alder Speech; The drive for data in NBFI; 17May2023 .pdf](#)
- f.  [Note; FCA speech Sheldon Mills; Countdown to the Consumer Duty; 13May2023.pdf](#)
- g.  [FCA publishes Decision Notices for Banque Havilland SA and three of its former employees; 06May2023.pdf](#)
- h.  [BoE consults on its approach to Enforcement policies for clarity on scope of its powers & processes; 04May2023.pdf](#)
- i.  [UK authorities review the Senior Managers & Certification Regime - Evolution, not revolution; 02May2023.pdf](#) &  [SMCR-Checklist-Policies_and_Procedures.pdf](#)
- j.  [andrew-bailey-keynote-speech-british-chambers-of-commerce-global-annual-conference.pdf](#)
- k.  [FCA publishes first set of engagement papers on proposed equity listing rule reforms; 19May2023.pdf](#)
- l.  [CMA provisionally finds 5 banks broke competition law on UK bonds ; 24May2023.pdf](#) &  [Five banks broke competition law in UK bonds, provisional CMA finding shows gilt traders exchanged sensitive information on pricing & strategies; 24May2023.pdf](#)
- m.  [Note on FCA PS 23_4 on Improving Equity Secondary Markets; 04May2023.pdf](#)
- n.  [Note on FCA CP23_11; 'Remuneration; Enhancing proportionality for dual-regulated firms'; 12May2023.pdf](#)
- o.  [Wholesale market data; Regulatory focus on competition and access; Apr2023.pdf](#)

- p. [FCA sets out steps to improve whistleblower confidence; 04May2023.pdf](#)
- q. [FCA publishes its 2023_24 Business Plan - Summary; 02May2023.pdf](#)
- r. [Market Watch 73 puts spotlight back on CFD providers; 12May2023.pdf](#) & [FCA Market Watch 73 – CfDs and spread bets; 20May2023.pdf](#) & [FCA Market Watch 73 – CfDs and spread bets; 20May2023.pdf](#)
- s. [8 FCA Conduct Actions in May; 17May2023.pdf](#)
- t. [Managing culture – some FCA speeches and papers; 18May2023.pdf](#)
- u. [FCA Regulation round-up May 2023; 25May2023.pdf](#)
- v. [FCA Quarterly Consultation; #40; cp23-14; 03June2023.pdf](#)
- w. [Synthèse SPOT Fourniture de données de marché VA; 28Apr2023.pdf](#) & [EVIA Note on AMF SPOT inspections & identified coompliance shortcomings; 09May2023.pdf](#)
- x. [Paris shaking off 'backwater' tag as international banks expand; FT; 04May2023.pdf](#)
- y. [SGF Coinvertible White-Paper-v1.0.pdf](#)

f. UK Government

- a. [European, UK & Swiss Regulatory & Political News; Week 21; 22nd May 2023 to 27th May 2023.pdf](#)
- b. [European, UK & Swiss Regulatory & Political News; Week 20; 15th May 2023 to 20th May 2023.pdf](#)
- c. [European, UK & Swiss Regulatory & Political News; Week 19; 08th May 2023 to 13th May 2023.pdf](#)
- d. [European, UK & Swiss Regulatory & Political News; Week 18; 01st May 2023 to 06th May 2023.pdf](#)
- e. On 2 June 2023, the UK Parliament website issued a [press release](#) stating that the House of Lords will begin its further examination of the Financial Services and Markets Bill at report stage, on Tuesday 6 June. Three days of report stage have been scheduled.
- f. [HMT introduces technical amendments to FS&M Bill for CCP run-off regime; 01June2023.pdf](#)
- g. [AFME and UKF response to PRA-FCA DP1.23 SMCR Review final; 31May2023.pdf](#) & [AFME and UKF response to HMT's Senior Managers & Certification Regime Call for Evidence; 31 May 2023.pdf](#)
- h. [UK Economy under Brexit; briefingsforbritain; 20May2023.pdf](#)
- i. [The City needs an intervention; Advocacy comment in the FT by UK Finance; 23May2023.pdf](#)
- j. [Dieter Helm; Who should pay for the sewers; Blog; 24May2023.pdf](#)
- k. [CoL Report; Global-carbon-pricing-mechanisms-and-their-interaction-with-carbon-markets; 20May2023.pdf](#)
- l. [MoU establishing a framework for financial services regulatory cooperation between the UK & EU; 19May2023.pdf](#) & [EU Comm adopts draft EU-UK Memorandum of Understanding on financial services; 17May2023.pdf](#)

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- m. [!\[\]\(cf5be311f7b2821912d8009884508fa2_img.jpg\) ESC Letter to PM following Government's amendments in the Lords on REUL legislation and KB Statement in HoC; 15May2023.pdf](#)
 - n. [!\[\]\(9804e70d96ff9fe9899b264c06a33cd7_img.jpg\) HMT publishes Call for Proposals on measuring success in relation to financial regulators' new secondary objectives; 13May2023.pdf](#)
 - o. [!\[\]\(4f49380f3d6bce047bc47b2072cc076f_img.jpg\) Note on the FCA proposals for an ESCC Listings Regime in CP23_10; 13May2023.pdf](#)
 - p. [!\[\]\(73944fd4f6fb83e4c64013731d1820cc_img.jpg\) We need a new approach to bank regulation; Mervyn King; 11May2023.pdf](#)
 - q. [!\[\]\(d8f7165d5a8d1eba426ea452457190e5_img.jpg\) minutes-of-cbdc-technology-forum-14-march-2023.pdf](#)

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

- a.
- b. [!\[\]\(4e333a6106fc298d0ae6dff272a736ef_img.jpg\) Investment firms; EU Commission adopts RTS on Pillar 2 add-ons under IFD; 01June2023.pdf](#)
- c. [!\[\]\(97089f8e07e24e31baa67366e358a709_img.jpg\) Proportionality key to overlapping remuneration rules; 06June2023.pdf](#)
- d. [!\[\]\(9496824b8cff3a19f59b81b37b57d8b6_img.jpg\) EBA consults on new RTS and ITS on supervisory colleges for IFR; 02June2023.pdf](#)
- e. [!\[\]\(ec8d0f7e486e2280c113cd85015a8548_img.jpg\) FCA proposed changes in QC#40 to MIFIDPRU 7.9 to ensure individual firm ICARAs are the norm rather than at group level; 06Jun2023.pdf](#)
- f. [!\[\]\(fad66fecb73aae330937d501057cafc9_img.jpg\) ESAs consult on DORA criticality criteria; 02June2023.pdf](#)

h. EU Rules and ESAs

- a. [!\[\]\(97faa0168e491544be255cfcab218e9b_img.jpg\) European, UK & Swiss Regulatory & Political News; Week 21; 22nd May 2023 to 27th May 2023.pdf](#)
- b. [!\[\]\(b2166b76608b8499cffc130bf1b1fe60_img.jpg\) European, UK & Swiss Regulatory & Political News; Week 20; 15th May 2023 to 20th May 2023.pdf](#)
- c. [!\[\]\(b29da0f81af7d31816596405aed0e378_img.jpg\) European, UK & Swiss Regulatory & Political News; Week 19; 08th May 2023 to 13th May 2023.pdf](#)
- d. [!\[\]\(52b4a21f1e75ded8f9710f4114e70d28_img.jpg\) European, UK & Swiss Regulatory & Political News; Week 18; 01st May 2023 to 06th May 2023.pdf](#)
- e. [!\[\]\(07221912d1bf206beb97cefd77af5f78_img.jpg\) AFME has today published its Q4 2022 and 2022 Full Year Government Bond Data Report; 03Apr2023.pdf](#)
- f. [!\[\]\(c91d9fd9eb37f21f63405f290fd824c2_img.jpg\) AML; EU pares FATF & updates list of high-risk third-country jurisdictions; 17May2023.pdf](#)
- g. [!\[\]\(14a82b1cdd6b1489ba04a4334bdc8552_img.jpg\) Anti-money laundering; Council & European Commission adopt further rules; 17May2023.pdf](#)
- h. [!\[\]\(d7e57fae97bcb08f452f04012143cb4c_img.jpg\) BdF DP; 20230403_decentralised_disintermediated_finance_en.pdf](#)
- i. [!\[\]\(4b6a3d6d2e338eb31753f2fba4f530b7_img.jpg\) ECB key considerations in relation to the internationalisation of digital euro; 16May2023.pdf](#)
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Threat from DPRK:

- DPRK state-sponsored actors are driven by financial gain.
- It is almost certain that UK financial institutions will be under threat from DPRK Cyber actors.
- Targeting for DPRK cyber thefts is often opportunistic based on their belief of being successful in stealing funds.

CNI cyber review:

- The most significant threat to the sector from the war in Ukraine is almost certainly overspill from cyber attacks in the region.
- The threat from nation states is **highly likely** focused towards the vast data sets held by firms.
- Authoritarian regimes **almost certainly** use their regulators' accesses to the finance sector for strategic advantage
- Although some criminals **likely** began to reconsider their targeting of CNI following the Colonial Pipeline incident. It's **almost certain** that CNI continues to be seen as a lucrative target.

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- b. [Market Regs, Post Trading and Benchmarks News & Events; Week 20; 15th May 2023 to 20th May 2023.pdf](#)
- c. [Market Regs, Post Trading and Benchmarks News & Events; Week 19; 08th May 2023 to 13th May 2023.pdf](#)
- d. [Market Regs, Post Trading and Benchmarks News & Events; Week 18; 01st May 2023 to 06th May 2023.pdf](#)
- e. [FCA final message one month ahead of the cessation of the last USD Libor panel; 01Jun2023.pdf](#)
- f. [ESMA RTS on application for authorisation and registration under BMR; 31May2023.pdf](#)
- g. [BOE; Minutes of Money Market Committee meeting – March 2023; 20May2023.pdf](#)
- h. [BOE; Minutes of the Securities Lending Committee meeting March 2023; 20May2023.pdf](#)

- i. [PDF](#) [Central banks and governments pressured lenders to rig Libor rate, new book claims; 22May2023.pdf](#)
- j. [PDF](#) [Transition to RFRs Review; First Quarter of 2023; 06May2023.pdf](#)
- k. [PDF](#) [ClarusFT; CME converted your Eurodollars. This is what happened next Chris Barnes; 06May2023.pdf](#)
- l. [PDF](#) [ClarusFT; Fast Valuation of Seasoned OIS Swaps; Gary Kennedy; 06May2023.pdf](#)
- m. [PDF](#) [Wholesale market data; Regulatory focus on competition and access; Apr2023.pdf](#)
- n. [PDF](#) [IBOR reform; USD LIBOR deadline, the big one approaches; OSTTRA; Kirston Winters; 09May2023.pdf](#)
- o. [PDF](#) [ClarusFT; Do you know how much now trades in RFRs after the CME conversion exercises; Chris Barnes; 19May2023.pdf](#)

o. FX and Money Markets

- a. [PDF](#) [Rates, FX, Credit and Equities Markets; Week 21; 22nd May 2023 to 27th May 2023.pdf](#)
- b. [PDF](#) [Rates, FX, Credit and Equities Markets; Week 20; 15th May 2023 to 20th May 2023.pdf](#)
- c. [PDF](#) [Rates, FX, Credit and Equities Markets; Week 19; 08th May 2023 to 13th May 2023.pdf](#)
- d. [PDF](#) [Rates, FX, Credit and Equities Markets; Week 18; 01st May 2023 to 06th May 2023.pdf](#)
- e. [PDF](#) [FX Market adapting to the Phase 6 UMR Test; 25May2023.pdf](#)
- f. [PDF](#) [GFXC Agenda for Annual Meeting; Mexico; 01 & 02 June 2023.pdf](#)
- g. [PDF](#) [FX Platform Volumes; Volumes Lower in April; 16May2023.pdf](#)
- h. FX Platform Volumes; higher in May
- i. [PDF](#) [ClarusFT; Parsimonious HJM-FMM Model with Risk-Free Term Rates; Serena Manti and Gianluca Molteni; 19May2023.pdf](#)
- j. [PDF](#) [On FX barrier option triggers under US litigation; 04May2023.pdf](#) & [PDF](#) [CFTC; enfmizuhocapitalorder; ~Pre-hedging~; 042523.pdf](#)
- k. [PDF](#) [Inflation's real benefits beat theoretical costs; 07May2023.pdf](#)
- l. [PDF](#) [Japan MoF publishes updated list of classifications of listed companies relating to prior-notification under FEFTA; 01Jun2023.pdf](#)

p. Digitalisation of Regulatory Reporting and Cryptoassets

- a. [PDF](#) [BIS paper on central bank digital currencies; ongoing policy perspectives; 25May2023.pdf](#)
- b. [PDF](#) [IOSCO consults on global crypto regulation; 02June2023.pdf](#)
- c. [PDF](#) [FinTech, SupTech & RegTech News; Week 18; 01st May 2023 to 06th May 2023.pdf](#)
















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- d. [PDF](#) [FinTech, SupTech & RegTech News; Week 19; 08th May 2023 to 13th May 2023.pdf](#)
- e. [PDF](#) [FinTech, SupTech & RegTech News; Week 20; 15th May 2023 to 20th May 2023.pdf](#)
- f. [PDF](#) [FinTech, SupTech & RegTech News; Week 21; 22nd May 2023 to 27th May 2023.pdf](#)
- g. **Adopted text of MiCA**; On 2 June 2023, the Council of the EU published the adopted text of the [Regulation](#) of the European Parliament and of the Council on markets in crypto-assets and amending Regulations (EU) No 1093/2010 and (EU) 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937. The text is dated 31 May 2023. The next step is for the Regulation to be published in the Official Journal of the EU. It will enter into force 20 days after publication.
- h. **Adopted text of the Regulation on information accompanying transfers of funds and certain crypto-assets**; On 2 June 2023, the Council of the EU published the adopted text of the [Regulation](#) on information accompanying transfers of funds and certain crypto-assets and amending Directive (EU) 2015/849. The text is dated 31 May 2023. The next step is for the Regulation to be published in the Official Journal of the EU. It will enter into force 20 days after publication.
- i. [PDF](#) [ESMA updates Q&As on the implementation of the MICA Pilot Regime; 03June2023.pdf](#)
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- k. [PDF](#) [ESRB reports on cryptos and decentralised finance; 02June2023.pdf](#)
- l. [PDF](#) [David Birch; There's No Such Thing As ~SMS Security~; HeyHey 2FA, How Many Frauds Did You Stop Today; 04May2023.pdf](#)
- m. [PDF](#) [The end of fin-fluencing; Regulators are cracking down on crypto promotions; 02May2023.pdf](#)
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- o. [PDF](#) [Musk, Media And The Rejuvenation Of Micropayments; David Birch; 13May2013.pdf](#)
- p. [Payments Are A Utility & a Critical Infrastructure; Banks are the best way to deliver payments; David Birch; 12May2023.pdf](#)
- q. [PDF](#) [Forbes; David Birch; ~Cash And Car Keys Work Offline; This Means Digital Wallets Must Too~; 12May2023.pdf](#)
- r. [PDF](#) [ECON; Paper; Digital Euro; When in doubt, abstain \(but be prepared\); IPOL_IDA\(2023\)741507_EN; 05May2023.pdf](#)
- s. [PDF](#) [BdF DP; 20230403_decentralised_disintermediated_finance_en.pdf](#)
- t. [PDF](#) [Big data; Central banks are undergoing a data revolution; Digital currency ecosystem brimming with confidence; 11 May 2023.pdf](#)
- u. [PDF](#) [minutes-of-cbdc-technology-forum-14-march-2023.pdf](#)
- v. [PDF](#) [The whole gambling vs. investing thing can be very confusing; David Birch; 19May2023.pdf](#)
- w. [PDF](#) [FT; The DeFi world faces a jarring transition; 15May2023.pdf](#)
- x. [PDF](#) [WilmerHale's Matthew Kulkin Testifies at Congressional Subcommittee Hearing on Digital Assets; HHRG-118-BA21-Wstate-KulkinM-20230510.pdf](#)
- y. [PDF](#) [Impact of DLT for Capital Markets; AFME-GFMA; 20230512.pdf](#)

- z. [PDF](#) [ECB key considerations in relation to the internationalisation of digital euro; 16May2023.pdf](#)
- aa. [PDF](#) [Of Wallets & Wallies; David Birch; 18May2023.pdf](#)
- bb. [PDF](#) [AFME's Cyber Security position paper; The case for exempting financial services from the proposed EU Cyber Resilience Act; 18May2023.pdf](#)
- cc. Timelines for EU and UK projects
- dd. [PDF](#) [Impact of DLT for Capital Markets; AFME-GFMA; 20230512.pdf](#) & [PDF](#) [AFME new report highlighting the potential transformative benefits of DLT for capital markets; 17May2023.pdf](#)
- ee. [PDF](#) [A&O Sliddeck - Institutional and wholesale digital assets latest developments; 24May2023.pdf](#)
- ff. [PDF](#) [Digital Assets; NFT Financial Services Use Cases & Regulatory Considerations; UK Finance and CMS UK; 26May2023.pdf](#)
- gg. [PDF](#) [Accelerating Trading Activities via China Bond Connect; 24May2023.pdf](#)
- hh. [PDF](#) [IOSCO Consults on setting the Standards for Global Crypto Regulation; 23May2023.pdf](#) & [PDF](#) [Note on - IOSCO Consults on setting the Standards for Global Crypto Regulation; 23May2023.pdf](#)
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- kk. [PDF](#) [Note on Digital Assets; NFT Financial Services Use Cases & Regulatory Considerations; UK Finance and CMS UK; 26May2023.pdf](#)
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- pp. [PDF](#) [Crypto Trading Platforms authorised from Zodia, LMAX & Hidden Road, CIVnl; 23May2023.pdf](#)

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- e. [PDF](#) [CFTC Fines HSBC Bank USA for manipulative & deceptive trading related in IRS re bond issuers and spoofing; 20May2023.pdf](#)
- f. [PDF](#) [CFTC Staff Considers Whether SEF ~Prime Brokerage~ Arrangements Require DCO Registration; 20May2023.pdf](#)

- g. [SEC Proposes Toughening Clearing Agency Requirements; Market Participants to Address Implications; 18May2023.pdf](#)
- h. [PDF ~Lessons from Mrs O'Leary's Cow~; SEC Chair Gensler Warns of Financial Fires Spread by Market Interconnectedness; 20May2023.pdf](#)
- i. [PDF HSBC Bank USA, a swap dealer firm settled CFTC charges for engaging in market manipulation of issuer swaps; 20May2023.pdf](#)
- j. [PDF HSBC and Scotia Capital settled SEC charges for WhatsApp Comms; 20May2023.pdf](#)
- k. [PDF HKMA issues guidance on regulatory capital treatment in relation to Swap Connect; 20May2023.pdf](#) & [PDF On the launch of Swap Connect in HK; 15May2023.pdf](#)
- l. [PDF MAS to apply new derivatives reporting rules in Oct 2024; response to OTC derivatives trade reporting consultation; 20May2023.pdf](#)
- m. [PDF CFTC GMAC requests input on proposed work program; 20May2023.pdf](#)
- n. [PDF April 2023 SEF Tracker; 19May2023.pdf](#)
- o. [PDF Regulators and bank CEOs on the Hill; Witnesses before the House Subcommittee on Digital Assets Weigh In on Stablecoin Legislation; 19May2023.pdf](#)
- p. [PDF WilmerHale's Matthew Kulkin Testifies at Congressional Subcommittee Hearing on Digital Assets; HHRG-118-BA21-Wstate-KulkinM-20230510.pdf](#)
- q. [PDF April 2023 SEF Tracker; 19May2023.pdf](#) (published mid May)
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- u. [PDF ISDA The Swap podcast; Episode 32; Talking TAC; CFTC TAC under Commissioner Christy Goldsmith Romero; 25May2023.pdf](#)
- v. [PDF ClarusFT; Swap Markets in China – What You Should Know; 24May2023.pdf](#)
- w. [PDF SFC releases VASP regime consultation conclusions; 26May2023.pdf](#)
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- aa. [PDF CFTC Staff Considers Whether SEF ~Prime Brokerage~ Arrangements Require DCO Registration; 20May2023.pdf](#)
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- cc. [PDF CFTC GMAC requests input on proposed work program; 20May2023.pdf](#)
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- jj.  [ClarusFT; IDB Market Share In SOFR Swaps; Amir Khwaja; 11May2023.pdf](#)
- kk.  [Understanding Fixed-Income Markets in 2023; Greenwich; 11May2023.pdf](#)
- ll.  [When China invades Taiwan - some energy consequences 10.5.23.pdf](#)
- mm.  [That's T+1 Life; Overcoming Bottlenecks to Avoid Problems Next May; 11May2023.pdf](#)
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- pp.  [FSOC RfC on proposed guidance on the process for designating nonbank financial institutions; 05May2023.pdf](#)
- qq.  [US Banking Balance Sheet Failures; House Financial Services Committee Reports; 06May2023.pdf](#)
- rr.  [The Singapore Financial Services and Markets Bill; April2022.pdf](#)
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- tt.  [Japan MoF publishes updated list of classifications of listed companies relating to prior-notification under FEFTA; 01Jun2023.pdf](#)

- **Open Consultations - EVIA/LEBA Responding**

- **Open Consultations - EVIA Responding**

-  [IOSCO consults on global crypto regulation; 02June2023.pdf](#)
- [Non-equity securities - Engagement Paper 4 \[PDF\]](#)
- Possible response - Unlikely for the other 3 engagement papers
- [EVIA note on FCA PS23_4 on improving equity secondary markets & CP23_10; Primary Markets Effectiveness Review & CP on proposed equity listing rule reforms; 04May2023.pdf](#)
- FCA [Consultation Paper 23/9: Changing the scope of the baseline financial resilience regulatory return](#)
- [FCA DP23/3: Review of the Senior Managers and Certification Regime \(SM&CR\) & HMT Call for Evidence on SMCR](#)
- Both papers Close on 01 June 2023.
- Likely a delayed response to support the sell side comments – note the AFME/UKF submissions
- [AFME and UKF response to PRA-FCA DP1.23 SMCR Review final; 31May2023.pdf](#)
- [AFME and UKF response to HMT's Senior Managers & Certification Regime Call for Evidence; 31 May 2023.pdf](#)
- FCA; [PS23/2: Changes to reporting requirements, procedures for data quality and registration of Trade Repositories under UK EMIR \[PDF\]](#)

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- [Open response to policy statement to CP 21/31 – possible comment bank on ISIN over UPI decision](#)
 - [CP23/14: Quarterly Consultation Paper No. 40](#)
 - [FS23/2: Decisions on US dollar LIBOR – feedback to CP22/21](#)
 - Responses
 - [EVIA Response to AnnaDSB 2023 Annual Consultation OTC-ISIN; 26May2023 \(1\).pdf](#)
 - [EVIA Consultation Response; HMT_FFS Regulatory Regime for Cryptoassets; 28April2023.pdf](#)
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- e.  [EVIA Weekly News; Week 18; 03rd May 2022 to 07th May 2022.pdf](#)
- f.  [EVIA LEBA Monthly Compliance Meeting Agenda; 0830 Wednesday 03rd May 2023.pdf](#) (last month's agenda for reference)
- g.  [Open Consultations & Legislative Timetables; 06 June 2023.pdf](#)