

EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 01st March 2023

Virtual Meeting via MS_Teams - [Click here to join the meeting](#)








Please do suggest ideas around the meeting usefulness, format, guests, regulators and subgroups [Reporting; KYC&AML; Monitoring]

1. Matters arising

- a. Member Comments

2. Standing Items

- a. [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 01st March 2023.pdf](#)
- b. [Updated-OTC-Derivatives-Compliance-Calendar; 01March2023.pdf](#)
- c. [regulatory-initiatives-grid-feb-2023.pdf](#) & [FCA 5 month delayed update to the UK Regulatory Initiatives Grid; 28Feb2023.pdf](#)
- d. [Open Consultations & Legislative Timetables; 27 February 2023.pdf](#)
- e. **Conduct**
 - i. FCA [Dear CEO Letter](#) – FCA Roundtable tomorrow afternoon
 1. [Questions to FCA on the scope and application of the Dear CEO Letter to the Wholesale Broking Firms Sector of Jan2023.docx](#)
 2. [Mapping Template & Regulatory Gap Analysis for FCA Q1 2023 Dear_CEO_Letter_for_Wholesale_Brokers.xlsx](#)
 3. [EFF070-Q4-Reg-Update-UK-Feb-2023.pdf](#) & [FCA requires improvements in wholesale broking; Four areas of focus; 23Feb2023.pdf](#)
 - ii. [FCA using fee data for 'use it or lose it' action; 25Feb2023.pdf](#)
 - iii. Messaging Apps
 1. [The SEC Turns To Hedge Funds In WhatsApp Probe; 08 February 2023.pdf](#)
 2. US Dealers ban Chat GPT
 - iv. [FCA published feedback on what good and poor looks like when it comes to applications under the Cryptoasset AML_CFT regime; 25Jan2023.pdf](#) & [FCA offers tips for crypto registration as it continues to show teeth; 25Feb2023.pdf](#)
 - v. [EU adds and deletes third countries, including UAE, to the AML Risk Register; 28Feb2023.pdf](#)
- f. **Rule Books**
 - i. Mutual Recognition
 1. AMF Tightening supervision on cross border [cf BAFIN Priorities]
 2. [ECON Paper; Recent trends in UK EU Equivalence Prospects and Options; 11Feb2023; IPOL_STU\(2023\)740067_EN.pdf](#) & [EP study on recent trends in UK financial sector regulation and](#)

- [possible implications for the EU, including its approach to equivalence; 10Feb2023.pdf](#)
3. NI Protocol Agreement as a trigger
 4. MAS/RMO equivalence
- ii. UK Financial Services Bill
 1. FCA Discussion on Transparency & [finbourne-technology-data-quality-whitepaper.original.pdf](#) & FixOrg Protocols for Bonds
 2. [FCA Consultation process](#)
 - a. Wholesale Data in March
 - b. Non-Equity Transparency in June
 - c. UK CTP in June
 - iii. EU MiFIR2 & CTP
 1. [ESMA Publication](#) on the [TV Perimeter](#) & [NRF Podcast on TV Perimeter Differences](#)
 2. [ESMA70-446-772 Final Report on CO-DTO in the context of the benchmark transition.pdf](#)
 3. Meeting with FCA, Stephen McGoldrick on the UK Transparency Proposals
 4. Push back on Wholesale Data Timing
 - iv. Benchmarks / LiBOR
 1. [ClarusFT on SOFR Swaps Market Shares](#) &  [ClarusFT; Why Did SOFR Trading Decrease In January; Chris Barnes; 13Feb2023.pdf](#)
 2.  [Still no Term SOFR; ARRC; Key Messages & January 19th 2023 Meeting Readout.pdf](#)
 3.  [arrc-readout-for-jan-19-2023-meeting-final-012523.pdf](#)
 - v. Reference Data for MAT Crypto/Digital assets:  [DSB DAS SC Digital Asset Recommendations DRAFT; 14Feb2023.pdf](#)
 1. [HMT proposing a regulatory Crypto framework based on existing RAO activities of regulated trading venues – including the operation of an MTF; 02Feb2023.pdf](#)
 2. [UK Crypto & Digital CP](#)
- g. **Reporting Topics and Queries**
- i. [CFTC UTI / UPI Timeline 31 Jan 2024](#) &  [DSB derivatives identification service to launch in April; 25Feb2023.pdf](#) &  [EVIA UPI Brief.pdf](#)
 - ii. UTI v TVTIC: [Euronext Change of format for Trading Venue Transaction ID \(TVTIC\)](#)
 - iii. INTC v MTCH v DEAL:  [EVIA; Guidance for Transaction Reporting Matched Principal transactions; February 2023.pdf](#)
 - iv. NORE versus Broker ID as Decision Maker; Possible EVIA settled protocol?
 1. [Noting for UK - #MW62](#)
 2. [Noting for EU \(and UK by extension\) ESMA's Transaction Reporting Guidelines](#)
 3. [Article 9 Identification of person or computer algorithm responsible for execution of a transaction](#)
 - v. Reporting TRS: Role of Dividend Yield as Core Economic Term and definition of "Price"
 - vi. Responsibility for event dates in swaps
 - vii. Total Notional Quantity and Notional Amount Value fields v. Trayport

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- viii. FX Spot and Swaps (again)
 - ix. [PDF EVIA; Guidance for Transaction Reporting Matched Principal transactions; February 2023.pdf](#)
 - x. [PDF Oomply Launches Oomplydirect; 31Jan2023.pdf](#)
 - xi. [PDF ESMA Q1 2023 new quarterly liquidity assessment of bonds \[action point\]](#)
 - xii. [ESMA CP on a TRUM approach to replace FAQs](#)
 - xiii. [PDF Note; Smooth start for CFTC's re-jigged swap reporting rules; 25Feb2023.pdf](#)
 - xiv. [ION Outage – Manual processing & PDF Derivatives market still hit by fallout from Ion Markets cyber-attack Incident has left exchanges and regulators unable to compile weekly reports of trading activity; 22Feb2023.pdf](#)
- h. **Exchange Blocks**
- i. IFEU setting up UK TTF Contracts
 - ii. IFEU closing down CDS Open Interest via special compression events
- i. **Energy and Commodities**
- i. Energy Markets Relocation, Circuit Breakers, MCM, Meaning of "OTC"
 - ii. [Notes & Actions from LEBA Meeting with Trayport; 03 February 2023.docx](#)
 - iii. Oil Brokering Sanctions took effect on 05th February
- j. **Post Trade**
- i. [Three financial industry associations have published a statement criticising the EU's proposed EMIR 3.0 regulation as "harmful" to Europe's capital markets; 03Feb2023 .pdf](#)
 - ii. FCA to set up an industry advisory committee for EMIR Reporting
- k. **Other**
- i. [PDF ESG Regulatory Roundup; February 2023.pdf](#) & [PDF Roundup of ESG developments in Wholesale Markets in January and February 2023; 22Feb2023.pdf](#)
 - ii. [PDF ClarusFT; Most Active Names In Credit And Equity Derivatives – Jan2023; Amir Khwaja; February 15, 2023.pdf](#)
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Annexes, Links and Details

3. Sanctions

- a. [PDF Announcement of the Price Cap Levels for Russian Refined Products; 04Feb2023.pdf](#) & [PDF 5 Feb OPC Updated OFSI Guidance FINAL.pdf](#)
- b. [PDF OFAC designated multiple individuals and entities in a broad expansion of sanctions against Russia; 27Feb2023.pdf](#)
- c.

4. Latest FCA Policy Development updates

- a. [regulatory-initiatives-grid-feb-2023.pdf](#) & [FCA 5 month delayed update to the UK Regulatory Initiatives Grid; 28Feb2023.pdf](#)
- b. [PDF FCA requires improvements in wholesale broking; Four areas of focus; 23Feb2023.pdf](#)

- c. [PDF](#) [A UK regulatory regime for cryptoassets; Same risk, same regulatory outcome; 23Feb2023.pdf](#)
- d. [PDF](#) [BOE & HM Treasury consultation paper on the digital pound, a UK central bank digital currency; 1675776736184; 07Feb2023.pdf](#) & [PDF](#) [the-digital-pound-consultation-working-paper.pdf](#)
- e. [FCA Update on the Bank of England and FCA Memorandum of Understanding for supervision of market infrastructure](#)
- f. [PDF](#) [BOE Semi-Annual FX Turnover October 2022 survey of 27 financial institutions; 07Feb2023.pdf](#)
- g. [PDF](#) [BoE publishes CBEST thematic findings; 31Jan2023 .pdf](#)
- h. [PDF](#) [BOE; Huw-pill-annual-report-2023; 09Feb2023.pdf](#)
- i. [PDF](#) [EVIA Note: UK to Start Further Development Work on 'Likely Needed' Digital Pound; 07Feb2023.pdf](#)
- j. [PDF](#) [FCA Calls for Expressions of interest for Synthetic Data Expert Group; 17Feb2023.pdf](#)
- k. [PDF](#) [FCA offers tips for crypto registration as it continues to show teeth; 25Feb2023.pdf](#)
- l. [PDF](#) [FCA using fee data for 'use it or lose it' action; 25Feb2023.pdf](#)
- m. [PDF](#) [FCA Amigo fine reveals what FCA expects from lenders; 27Feb2023.pdf](#)
- n. [PDF](#) [FCA Consultation responses call for improvements to proposed sustainability labels; 20Feb2023.pdf](#)
- o. [PDF](#) [FCA publish Discussion Paper on finance for positive sustainable change; governance, incentives and competence in regulated firms; 11Feb2023.pdf](#)
- p. [PDF](#) [FCA publishes feedback statement on synthetic data call for input; 09Feb2023.pdf](#)
- q. [PDF](#) [FCA review of Consumer Duty implementation plans; 30Jan2023.pdf](#) & [PDF](#) [FCA Consumer Duty and Wholesale Firms; 23Feb2023.pdf](#)
- r. [PDF](#) [FCA Update FS22_1: Accessing and using wholesale data; 30Jan2023.pdf](#)
- s. [PDF](#) [finbourne-technology-data-quality-whitepaper.original.pdf](#)
- t. [PDF](#) [PRA priorities for 2023; Dear CEO letters for UK deposit takers, international banks and insurers; 23Feb2023.pdf](#)
- u. [PDF](#) [Speech by Emily Shepperd, new COO FCA on being a COO; 09 February 2023.pdf](#)
- v. [PDF](#) [Note; BoE and FCA publish UK EMIR 3 Final Proposals; 25Feb2023.pdf](#) & [PDF](#) [ISDA-Proposal-Reform-of-the-UK-EMIR-Intragroup-Exemption; December2022.pdf](#)

5. UK Government

- a. [Andrew Griffith, City Minister wants the City to develop a philosophy of risk & to not beat up about the failures along the way; 28Feb2023.pdf](#)
- b. [PDF](#) [European & UK Regulatory & Political News; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- c. [PDF](#) [European & UK; Regulatory & Political News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- d. [PDF](#) [European Regulatory & Political News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- e. [PDF](#) [UK & European Regulatory & Political News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- f. [PDF](#) [Note on HMT crypto proposals – practical discussion on next steps for firms and TAs; 25Feb2023.pdf](#) & [PDF](#) [HM Treasury consults on next steps for the regulation of cryptoassets; 11Feb2023.pdf](#)

- g. [PDF](#) [HMT proposing a regulatory Crypto framework based on existing RAO activities of regulated trading venues – including the operation of an MTF; 02Feb2023.pdf](#) & [PDF](#) [HMT: Future financial services regulatory regime for cryptoassets; Consultation and call for evidence; 02Feb2023; 1675270505828.pdf](#)
- h. [PDF](#) [Liz Truss exclusive: 'I assumed upon entering Downing Street my mandate would be respected. How wrong I was; 05Feb2023.pdf](#)
- i. [PDF](#) [Linklaters FAQs on the UKJT Legal Statement on Digital Securities; 15Feb2023.pdf](#)
- j. [PDF](#) [Proposed UK new, 'Failure to prevent fraud offence'; What do you need to do now; 23Feb2023.pdf](#)

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

- a. [PDF](#) [EVIA Prudential Roundup; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- b. [PDF](#) [EVIA Prudential Roundup; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- c. [PDF](#) [EVIA Prudential Roundup; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF](#) [EVIA Prudential Roundup; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [PDF](#) [PRA PS1_23 – Remuneration; Unvested pay, Material Risk Takers and public appointments; 10 February 2023.pdf](#)
- f. [PDF](#) [ESAs hold public hearing on DORA, announce upcoming consultations. EC asks ESAs for technical advice on DORA; 11Feb2023.pdf](#)
- g. [PDF](#) [Wolfsberg Group & IIF submitted comments to the EBA's public consultation on 'de-risking'; 1675773901376; 07Feb2023.pdf](#)
- h. [PDF](#) [Cyber-attack at financial data group Ion affects derivatives trading; 01Feb2023.pdf](#) & [PDF](#) [Ion cyber outage continues as banks rely on workarounds; ABN Amro, Macquarie, RBC among firms hit; ransom deadline tomorrow, but service may be down for days; 03Feb2023.pdf](#)
- i. [PDF](#) [BoE publishes CBEST thematic findings; 31Jan2023 .pdf](#)
- j. [PDF](#) [BOE; Does the bonus cap work – in theory – in practice; 03Feb2023.pdf](#)
- k. [PDF](#) [OFR proposal for reporting non-centrally-cleared bilateral repo; 30Jan2023.pdf](#)
- l. [PDF](#) [FSB report on the financial stability risks from decentralised finance \(DeFi\); P160223; 15Feb2023.pdf](#)
- m. [PDF](#) [BIS WP1073; dealer constraints in FX spot markets have significant adverse implications for market liquidity; 17 February 2023.pdf](#)
- n. [PDF](#) [FSB report on the financial stability risks from decentralised finance \(DeFi\); 17 February 2023.pdf](#)
- o. [PDF](#) [FCA - Significant SYSC definition \(solo-regulated firms\); 25Feb2023.pdf](#)
- p. [PDF](#) [ClarusFT; Now Everyone Can Understand Bank Capital Requirements; Chris Barnes; February 22, 2023.pdf](#)

7. EU Rules and ESAs

- a. [PDF](#) [European & UK Regulatory & Political News; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- b. [PDF](#) [European & UK; Regulatory & Political News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- c. [PDF](#) [European Regulatory & Political News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF](#) [UK & European Regulatory & Political News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)

- e. [!\[\]\(065aacad479feea1b3f501fa02b79a7a_img.jpg\) ECON Paper; Recent trends in UK EU Equivalence Prospects and Options; 11Feb2023; IPOL_STU\(2023\)740067_EN.pdf & !\[\]\(f90d8b6badff022f4fa9e71b17a20969_img.jpg\) EP study on recent trends in UK financial sector regulation and possible implications for the EU, including its approach to equivalence; 10Feb2023.pdf](#)
- f. [!\[\]\(aedc732acbf023768f1c9cdaebdbc316_img.jpg\) Summary comment on the ESMA Final Report on the Opinion on the trading venue perimeter; 02 February 2023.pdf & !\[\]\(76d395b5ba40c2fcb8efc1d8802b90f2_img.jpg\) ESMA70-156-6383 Final Report on ESMA's Opinion on the trading venue perimeter.pdf](#)
- g. [!\[\]\(958302261281a004a5c61bd3a0252d0b_img.jpg\) ESMA70-446-772 Final Report on CO-DTO in the context of the benchmark transition.pdf](#)
- h. [!\[\]\(1feb34783a458dc8a9947808fbe07d90_img.jpg\) AFME Statement on SEC T+1 commitment; 15Feb2023.pdf](#)
- i. [!\[\]\(110653b75fcec8d107e4c0c489903595_img.jpg\) AMF supervisory priorities for 2023 compared to AFM and BAFINpdf & !\[\]\(72b14bd552cd234e38796f2a9a16d9cf_img.jpg\) AFM publishes supervisory agenda for 2023 & its strategy through to 2026; 07Feb2023.pdf](#)
- j. [!\[\]\(aa6ca21b90c433f26b35599c5df4fd25_img.jpg\) ESAs hold public hearing on DORA, announce upcoming consultations. EC asks ESAs for technical advice on DORA; 11Feb2023.pdf](#)
- k. [!\[\]\(8e938cc0ab430b62cf8a2153e14529c4_img.jpg\) ESMA TRV Risk Analysis; Artificial intelligence in EU securities markets; 08Feb2023.pdf](#)
- l. [!\[\]\(24f26c46c53976cd3338d11c6dbca2a4_img.jpg\) esma70-460-189_gas_dlt_pilot_regulation.pdf](#)
- m. [!\[\]\(5fec18590cee79de7466f48a5b19e7ae_img.jpg\) European regulators have made several U-turns in the last few months, in particular around their stance on systematic internalisers and dark trading, that mimic UK proposals; TheTrade; 03Feb2023.pdf](#)
- n. [!\[\]\(7c2046aa53ed8d08b8785465509eceb5_img.jpg\) OMFIF; Undone on the western front; David Marsh; 23Feb2023.pdf](#)
- o. [!\[\]\(43d0f4685b18833055d282ab4c13a7a2_img.jpg\) Summary of the relevant ESMA BoS Outcomes in November & December 2022; 23Feb2023.pdf](#)
- p. [!\[\]\(4cf5e39ee9365bc349e2cee7e9b9bfe4_img.jpg\) Three financial industry associations have published a statement criticising the EU's proposed EMIR 3.0 regulation as "harmful" to Europe's capital markets; 03Feb2023 .pdf](#)
- q. [!\[\]\(a175de13a8c8cd62377df2a19de6771c_img.jpg\) EC consults with Member States on the prospective implementation of Basel rules on crypto-asset exposures; 25Feb2023.pdf](#)
- r. [!\[\]\(8a3ae020f0e9a1182416df106b02155e_img.jpg\) ESMA CP on a TRUM approach to replace FAQs](#)
- s. [!\[\]\(32c15f9d0330c0e3478f9a43d57bd2d0_img.jpg\) On what constitutes Multilateralism - Has ESMA Shaken Up the FX Platform World; 07Feb2023.pdf](#)
- t. [!\[\]\(2c6b636e54fa72fba06bef7826ba9eb2_img.jpg\) Three financial industry associations have published a statement criticising the EU's proposed EMIR 3.0 regulation as "harmful" to Europe's capital markets; 03Feb2023 .pdf](#)

8. Conduct/ Enforcement/ PFOF

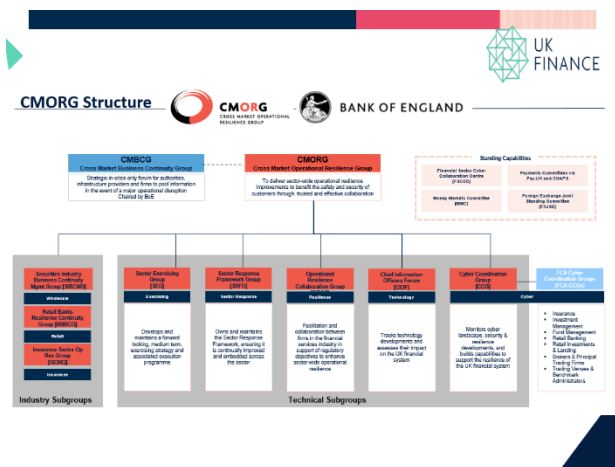
- a. [!\[\]\(444b1eae2189e5cd8d096594c07a0a6e_img.jpg\) Conduct, Sanctions and Enforcement News; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- b. [!\[\]\(b81fe50bc966474a9bf510149094d8e3_img.jpg\) Conduct, Sanctions and Enforcement News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- c. [!\[\]\(94faa64fb42ea7f60c43d916dda9de51_img.jpg\) Conduct, Sanctions and Enforcement News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [!\[\]\(83869583ee10f8aa2e9787431ee1ddc1_img.jpg\) Conduct, Sanctions and Enforcement News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [!\[\]\(c8c4b3ab893e3f5c9fc372d81c022dbd_img.jpg\) Market Sources report that Project Amber Has Shut Down; Neptune and Symphony ongoing; 25Feb2023.pdf](#)
- f. [!\[\]\(1544eb02c538182c3b92ab34ff13b254_img.jpg\) DSB derivatives identification service to launch in April; 25Feb2023.pdf](#)
- g. [!\[\]\(d38d890159577c667969d148fb534a48_img.jpg\) Optiver Lobby Paper; Insights_Not_just_PFOF; 25Feb2023.pdf](#)

- h. [PDF](#) [AMF supervisory priorities for 2023 compared to AFM and BAFINpdf & \[PDF\]\(#\) AFM publishes supervisory agenda for 2023 & its strategy through to 2026; 07Feb2023.pdf](#)
- i. [PDF](#) [CEO letter gives brokers six weeks to review controls; Bovill Note; 18Jan2023.pdf](#)
- j. [PDF](#) [DSB DAS SC Digital Asset Recommendations DRAFT; 14Feb2023.pdf](#)
- k. [PDF](#) [EVIA; Guidance for Transaction Reporting Matched Principal transactions; January 2023.pdf](#)
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- m. [PDF](#) [FCA published feedback on what good and poor looks like when it comes to applications under the Cryptoasset AML_CFT regime; 25Jan2023.pdf](#)
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- o. [PDF](#) [FCA publishes feedback statement on synthetic data call for input; 09Feb2023.pdf](#)
- p. [PDF](#) [FCA review of Consumer Duty implementation plans; 30Jan2023.pdf](#)
- q. [PDF](#) [FINRA; Deloitte Corporate Finance; Settles Charges for Failing to Preserve iMessage Communications; 13Jan2023.pdf](#)
- r. [PDF](#) [Four Exchange Deposit Addresses Received Over \\$1 Billion in Illicit Funds in 2022; 06Feb2023.pdf](#)
- s. [PDF](#) [House Republicans Criticize FTC Proposal to Ban Noncompete Clauses; 17Feb2023.pdf](#)
- t. [PDF](#) [MAS has issued a consultation regarding its Fair Dealing Guidelines; 20Jan2023.pdf](#)
- u. [PDF](#) [Oomply Launches Oomplydirect; 31Jan2023.pdf](#)
- v. [PDF](#) [Rising IDB Brokerage Costs; Why Banks Need to Delve into the Data; Meritsoft OpEd; 09 February 2023.pdf](#)
- w. [PDF](#) [Rising IDB Brokerage Costs; Why Banks Need to Delve into the Data; Meritsoft OpEd; 09 February 2023.pdf](#)
- x. [PDF](#) [SEC proposes tougher custody rules with digital assets in focus; 17Feb2023.pdf](#)
- y. [PDF](#) [SEC puts spotlight on insider trading with new disclosure requirements; 20Jan2023.pdf](#)
- z. [PDF](#) [Speech by Emily Shepperd, new COO FCA on being a COO; 09 February 2023.pdf](#)
- aa. [PDF](#) [The SEC Turns To Hedge Funds In WhatsApp Probe; 08 February 2023.pdf](#)
- bb. [PDF](#) [Updated-OTC-Derivatives-Compliance-Calendar-2023-2-1.pdf](#)
- cc. [ION Outage – Manual processing & \[PDF\]\(#\) Derivatives market still hit by fallout from Ion Markets cyber-attack Incident has left exchanges and regulators unable to compile weekly reports of trading activity; 22Feb2023.pdf](#)
- dd. [PDF](#) [Ion still in the fire; three banks call in lawyers after hack; Incident has left exchanges & regulators unable to compile weekly activity reports; 25Feb2023.pdf](#)
- ee. [PDF](#) [FCA Consumer Duty and Wholesale Firms; 23Feb2023.pdf](#)
- ff. [PDF](#) [FCA requires improvements in wholesale broking; Four areas of focus; 23Feb2023.pdf](#)
- gg. [PDF](#) [Proposed UK new, 'Failure to prevent fraud offence'; What do you need to do now; 23Feb2023.pdf](#)

9. Cybercrime/ AML/ KYC/ Reg Tech

- a. [JMLSG – Update](#)
- b. [PDF](#) [EU adds and deletes third countries, including UAE, to the AML Risk Register; 28Feb2023.pdf](#)
- c. [PDF](#) [Wolfsberg Group & IIF submitted comments to the EBA's public consultation on 'de-risking'; 1675773901376; 07Feb2023.pdf](#)

- d. [PDF](#) [FATF publishes Plenary outcomes; 28Feb2023 .pdf](#)
- e. [PDF](#) [NFA Letter endorsing BOI approach of FinGen; 14Feb2023.pdf](#)
- f. [PDF](#) [AFME has issued a position paper on amendments to the Anti-Money Laundering Regulation \(AML-R\) ahead of the EP ECON Shadow meeting; 03Feb2023.pdf](#)
- g. [PDF](#) [BoE publishes CBEST thematic findings; 31Jan2023 .pdf](#)
- h. BOE and FCA are reviewing the Cyber Co-ordination Groups in general. EVIA shall continue participation on TACIG when it next meets in May/June, which shall allow for any rationalisation of these groups and format.



- i. Incident Reporting Update – As discussed in the meeting Firms are required to notify the FCA of material operational incidents as part of SUP15.3 and Principle 11. This includes technology failure and outages, cyber-attacks and non-technology incidents, such as a power outage or office closures. We track, analyse and respond to incidents that are reported to the FCA.
- ii. The focus of our incident response work is to make sure firms take appropriate steps to mitigate harm, identify the root cause, and to prevent the incident reoccurring.
- iii. Further details can be found at the links -> <https://www.fca.org.uk/firms/operational-resilience#reporting-operational-incident>
- iv. https://www.handbook.fca.org.uk/form/sup/SUP_15_ann_11_REP018_20180113.pdf - This is the link under FCA Chapter 15 (SUP 15) relating to Payments Service Directive incidents. Still useful to use as a guide though when reporting other non-payment incidents as similar information under the headings will be required. e.g. Nature of the Service incident, Impact, Mitigation and Communication plans.
- v. CTP – <https://www.fca.org.uk/publications/discussion-papers/dp22-3-operational-resilience-critical-third-parties-uk-financial-sector>
- vi. Roze Ahmad roze.ahmad@fca.org.uk for specific questions on presentation but feedback on Discussion Paper should be sent to DP3_22@bankofengland.co.uk

- i. [PDF](#) [Cyber-attack at financial data group Ion affects derivatives trading; 01Feb2023.pdf](#) & [PDF](#) [Ion cyber outage continues as banks rely on workarounds; ABN Amro, Macquarie, RBC among firms hit; ransom deadline tomorrow, but service may be down for days; 03Feb2023.pdf](#)
- j. [PDF](#) [Four Exchange Deposit Addresses Received Over \\$1 Billion in Illicit Funds in 2022; 06Feb2023.pdf](#)

10. ESG Topics, D&I & Disclosures

Meeting ID: 325 188 123 689 / Passcode: P8GcF6
Or call in (audio only)
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- a. [PDF](#) [FCA publish Discussion Paper on finance for positive sustainable change: governance, incentives and competence in regulated firms; 11Feb2023.pdf](#)
- b. [PDF](#) [ESG Contextual & Update; Early February 2023; 03Feb2023.pdf](#)
- c. [PDF](#) [ESG Regulatory Roundup; February 2023.pdf](#) & [PDF](#) [Roundup of ESG developments in Wholesale Markets in January and February 2023; 22Feb2023.pdf](#)
- d. [PDF](#) [Enhancing the effectiveness of carbon markets; IOSCO targets enhancements; 03Feb2023.pdf](#)
- e. [PDF](#) [Carbon Markets; Bain & Company has published a brief setting out the outlook in 2023 for voluntary carbon markets; 14Feb2023.pdf](#)
- f. [PDF](#) [OMFIE: Sovereigns should embrace KPI-linked social and biodiversity bonds; 23Feb2023.pdf](#)
- g. [PDF](#) [FCA Consultation responses call for improvements to proposed sustainability labels; 20Feb2023.pdf](#)

11. Energy & ACER

- a. [PDF](#) [LEBA Monthly Volumes & Trayport Commodities Report December 2022; 30Jan2023.pdf](#)
- b. [PDF](#) [Energy and Commodities Roundup; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- c. [PDF](#) [Energy and Commodities Roundup; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- d. [PDF](#) [Energy and Commodities Roundup; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- e. [PDF](#) [Energy and Commodities Roundup; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- f. [LEBA Note on IOSCO revised version of its 2011 Principles for the Regulation and Supervision of Commodity Derivatives Markets; 03 February 2023.pdf](#)
- g. [IFEU Circular 23_025 - Trading Information on Limits TTF Natural Gas Contracts and update to the Interval Price Limit.pdf](#)
- h. [Circular E23_007 - Suspension of Trading; French PEG Natural Gas Futures Contracts; E23007.pdf](#)
- i. [PDF](#) [20221220_EEX_ECC_Gas_Price_Cap.pdf](#)
- j. [PDF](#) [ACER-CEER Response EC_PC_EMD; 14Feb2023.pdf](#)
- k. [ACER; Electricity MMR 2022-Key Developments; 28Feb2023.pdf](#)
- l. [PDF](#) [Carbon Markets; Bain & Company has published a brief setting out the outlook in 2023 for voluntary carbon markets; 14Feb2023.pdf](#)
- m. [PDF](#) [EC market design consultation - Some thoughts on the main parts; 30Jan2023.pdf](#)
- n. [PDF](#) [Enhancing the effectiveness of carbon markets; IOSCO targets enhancements; 03Feb2023.pdf](#)
- o. [PDF](#) [Flipping the switch; the EU's response to the energy crisis; Dodds; 03Feb2023.pdf](#)
- p. [PDF](#) [FSB warns on concentrated commodity market risk to economy; 21Feb2023.pdf](#) & [LEBA Note; FSB warns on concentrated commodity market risk to economy; 21 February 2023.pdf](#) & [FSB; The Financial Stability Aspects of Commodities Derivatives; P200223-2; 21Feb2023.pdf](#) & [PDF](#) [Note; FSB warns on concentrated commodity market risk to economy; 21Feb2023.pdf](#)
- q. [PDF](#) [Independent Review of Events in the Nickel Market in March 2022 - Final Report.pdf](#)
- r. [PDF](#) [LEBA Note on IOSCO revised version of its 2011 Principles for the Regulation and Supervision of Commodity Derivatives Markets; 03 February 2023.pdf](#)

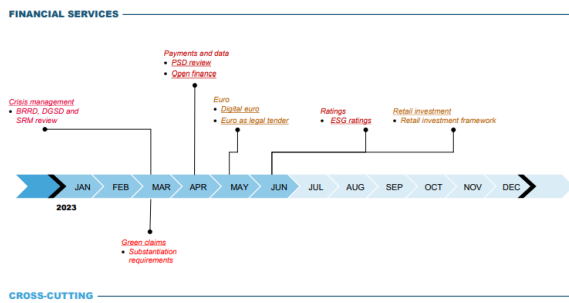
- s. [PDF](#) [LEBA Note: ACER proposes changes to improve EU electricity forward markets; Electricity Forward Market Policy Paper: 06Feb2023.pdf](#) & [PDF](#) [ACER proposes changes to improve EU electricity forward markets; Electricity Forward Market Policy Paper: 06Feb2023.pdf](#)
- t. [PDF](#) [OIES research paper analyses EU gas solidarity measures; 06Feb2023.pdf](#)
- u. [PDF](#) [OMFIF; Sovereigns should embrace KPI-linked social and biodiversity bonds; 23Feb2023.pdf](#)
- v. [PDF](#) [Risk; Plans by Ice and EEX to dodge EU price cap risk fragmenting the gas market; 06 February 2023.pdf](#)
- w. [PDF](#) [What's the problem with CfDs in Electricity Markets; Hertie & Aachen Univs; 31Jan2023.pdf](#)
- x. [EU & Council; statement-after-press-conference-270223-energy-transport.pdf](#)
- y. [IEA GasMarketReportQ12023.pdf](#)
- z. [OIES first Gas Quarterly of 2023; 1675502275991; 02Feb2023.pdf](#)

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

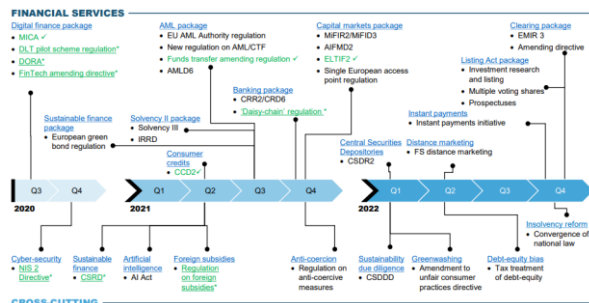
- a. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- b. [PDF](#) [Market Regs. Post Trading and Benchmarks News Events. Week 06 2022.pdf](#)
- c. [PDF](#) [Market Regs. Post Trading and Benchmarks News & Events; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF](#) [Credit, FX Markets, Rates & Equities News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [PDF](#) [ClarusFT; Most Active Names In Credit And Equity Derivatives – Jan2023; Amir Khwaja; February 15, 2023.pdf](#)
- f. [PDF](#) [Summary of IRD and CDS Full Year 2022 and the Fourth Quarter of 2022 Review; Full Report; 06Feb2023.pdf](#) & [PDF](#) [SwapsInfo-Full-Year-2022-and-the-Fourth-Quarter-of-2022-Review-Full-Report.pdf](#)
- g. [PDF](#) [Rising IDB Brokerage Costs; Why Banks Need to Delve into the Data; Meritsoft OpEd; 09 February 2023.pdf](#)
- h. [PDF](#) [FIA & SIFMA AMG Poll Finds Members Expect Further Consolidation in Derivatives Markets; 11Feb2023.pdf](#)
- i. [PDF](#) [CDIDE202307REV1_CDIDE - DDE-IRG meeting_25-Jan_Minutes_draft to DDE IRG.pdf](#)
- j. [PDF](#) [Still no Term SOFR; ARRC; Key Messages & January 19th 2023 Meeting Readout.pdf](#)
- k. [PDF](#) [SIFMA-Insights-Spotlight-January-2023-Market-Metrics.pdf](#)
- l. [PDF](#) [finbourne-technology-data-quality-whitepaper.original.pdf](#)
- m. [PDF](#) [Summary comment on the ESMA Final Report on the Opinion on the trading venue perimeter; 02 February 2023.pdf](#) & [PDF](#) [ESMA70-156-6383 Final Report on ESMA's Opinion on the trading venue perimeter.pdf](#)
- n. [PDF](#) [FCA Update FS22_1; Accessing and using wholesale data; 30Jan2023.pdf](#)
- o. [PDF](#) [ESMA70-446-772 Final Report on CO-DTO in the context of the benchmark transition.pdf](#)
- p. [PDF](#) [The JPM Survey e-Trading Edit; Insights from the Inside; 03Feb2023.pdf](#)
- q. [PDF](#) [Portfolio Trading Trends; A Breakdown of 2022; 02Feb2023.pdf](#)
- r. [PDF](#) [Outsourced Trading – Poised for Strong Growth in 2023; Opimas; 03Feb2023 .pdf](#)
- s. [PDF](#) [Incentives key to keeping primary dealership model sustainable; 03Feb2023.pdf](#)

- t. [PDF](#) [European regulators have made several U-turns in the last few months, in particular around their stance on systematic internalisers and dark trading, that mimic UK proposals; TheTrade: 03Feb2023.pdf](#)
- u. [PDF](#) [A new white paper from the DTCC highlights path to improve data exchange & data management amongst financial markets participants; 19Jan2023.pdf](#)
- v. [PDF](#) [Forward look at on post-trade transparency \(PTT\) reporting in the next year; 22Feb2023.pdf](#)
- w. [PDF](#) [FSB chair publishes letter to G-20 finance ministers and central bank governors; Outlines 2023 priorities; 23Feb2023.pdf](#)
- x. [PDF](#) [Market Sources report that Project Amber Has Shut Down; Neptune and Symphony ongoing; 25Feb2023.pdf](#)
- y. [PDF](#) [DSB derivatives identification service to launch in April; 25Feb2023.pdf](#)
- z. [PDF](#) [Optiver Lobby Paper; Insights Not just PFOF; 25Feb2023.pdf](#)

THE EU FINANCIAL SERVICES LEGISLATIVE PIPELINE
LEGISLATIVE PROPOSALS SCHEDULED FOR H1 2023



THE EU FINANCIAL SERVICES LEGISLATIVE PIPELINE
LEGISLATIVE PROPOSALS 2020-2022



13. Benchmarks and LiBOR Topics

- a. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- b. [PDF](#) [Market Regs, Post Trading and Benchmarks News Events, Week 06 2022.pdf](#)
- c. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [PDF](#) [ClarusFT; Why Did SOFR Trading Decrease In January; Chris Barnes; 13Feb2023.pdf](#)
- f. [PDF](#) [ClarusFT; Average & Term SOFR Volumes in 2022; Amir Khwaja; 22Feb2023.pdf](#)
- g. [PDF](#) [ClarusFT; Term SOFR & SBY Volumes in 2022; Amir Khwaja.pdf](#)
- h. [PDF](#) [Still no Term SOFR; ARRC; Key Messages & January 19th 2023 Meeting Readout.pdf](#)
- i. [PDF](#) [arcc-readout-for-jan-19-2023-meeting-final-012523.pdf](#) & [PDF](#) [summary-of-key-arcc-recommendations-final-012523.pdf](#)
- j. [PDF](#) [term-corra-officially-under-development.pdf](#)
- k. [PDF](#) [ClarusFT; CORRA First – Clients Don't Get It; Chris Barnes; 03 February 2023.pdf](#)
- l. [PDF](#) [Back to the Future\(s\) The Best Commodities Benchmarks Are Still Physically Settled Jan'23 \(1\).pdf](#)
- m. [PDF](#) [Limits on term SOFR use are skewing market; Issue likely to worsen unless changes are made. Citi's Peng warns; 31Jan2023.pdf](#)

- n. [PDF ClarusFT; SOFR Swaps D2D Volumes & Share; Amir Khwaja; 03 February 2023.pdf](#)
- o. [PDF ClarusFT; CORRA First – Clients Don't Get It; Chris Barnes; 03 February 2023.pdf](#)
- p. [PDF ClarusFT; Most Active Names In Credit And Equity Derivatives – Jan2023; Amir Khwaja; February 15, 2023.pdf](#)
- q. [PDF ClarusFT; Why Did SOFR Trading Decrease In January; Chris Barnes; 13Feb2023.pdf](#)

14. FX and Money Markets

- a. [Credit, FX Markets, Rates & Equities News; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- b. [Credit, FX Markets, Rates & Equities News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- c. [PDF FX Markets and Rates News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF Credit, FX Markets, Rates & Equities News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [PDF BIS WP1073; dealer constraints in FX spot markets have significant adverse implications for market liquidity; 17 February 2023.pdf](#)
- f. [PDF BOE & HM Treasury consultation paper on the digital pound, a UK central bank digital currency; 1675776736184; 07Feb2023.pdf](#)
- g. [PDF BoE Consultation & a CP Response Paper; Roadmap for the RTGS service beyond 2024; & RTGS – CHAPS Tariff; 17 February 2023.pdf](#)
- h. [PDF BOE Semi-Annual FX Turnover October 2022 survey of 27 financial institutions; 07Feb2023.pdf](#)
- i. [PDF CLS handled FX trades worth \\$1.913 trillion in January, a 1.9% increase on January 2022; 17Feb2023.pdf](#)
- j. [PDF Comparing the FX volume turnover data from the world's FX committees to those reported by platforms and by CLS; 23Feb2023.pdf](#)
- k. [PDF Forex and DeFi; A Match Made in Heaven; How DeFi Can Cut Costs & Boost Transparency in Foreign Exchange Markets; Feb2023.pdf](#)
- l. [PDF Market Regs, Post Trading and Benchmarks News & Events; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- m. [PDF On-chain Foreign Exchange and Cross-border Payments; SSRN-id4328948.pdf](#)
- n. [PDF The Evolution of FX; Report; Understanding the Workflows of FX Professionals; 21Feb2023.pdf](#)
- o. [PDF The pace of growth in FX turnover in Japan outperformed other centres according to the latest semi-annual FX turnover surveys; 17Feb2023.pdf](#)
- p. [PDF What lies in store for us in 2023; 360T.pdf](#)
- q. [PDF CLS FX Trade Volume Report January2023_.pdf](#)
- r. Does FX have a transparency problem, or rather, is one looming? The BIS-GFXC are considering this point such that if volumes on the CLOBs were to continue to deteriorate, they would be concerned at the impact on market transparency.
- s. Global FX Division to Discuss Next Steps FX; holding a special event in New York on Wednesday 8 February,
- t. [On what constitutes Multilateralism - Has ESMA Shaken Up the FX Platform World; 07Feb2023.pdf](#)
- u. Paul Krugman [had some views](#) about the Argentinian/Brazilian currency union news. He's not a fan
- v. [The seventh edition of the JP Morgan e-Trading Edit](#), which surveys traders for their key issues in markets, finds that recession risk and volatile markets are top of traders' minds for 2023, the latter supplanting liquidity availability for the first time.

15. Digitalisation of Regulatory Reporting and Cryptoassets

- a. [PDF](#) [FinTech, SupTech & RegTech News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- b. [PDF](#) [FinTech, SupTech & RegTech News; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- c. [PDF](#) [FinTech, SupTech & RegTech News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF](#) [FinTech, SupTech & RegTech News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [PDF](#) [DSB DAS SC Digital Asset Recommendations DRAFT; 14Feb2023.pdf](#)
- f. [PDF](#) [A UK regulatory regime for cryptoassets; Same risk, same regulatory outcome; 23Feb2023.pdf](#)
- g. [PDF](#) [BOE & HM Treasury consultation paper on the digital pound, a UK central bank digital currency; 1675776736184; 07Feb2023.pdf](#)
- h. [PDF](#) [BOE & HM Treasury consultation paper on the digital pound, a UK central bank digital currency; 1675776736184; 07Feb2023.pdf](#)
- i. [PDF](#) [Embedded Finance and the End of Traditional Banking; David Birch; 17 February 2023.pdf](#)
- j. [PDF](#) [ESMA TRV Risk Analysis; Artificial intelligence in EU securities markets; 08Feb2023.pdf](#)
- k. [PDF](#) [esma70-460-189_gas_dlt_pilot_regulation.pdf](#)
- l. [PDF](#) [EVIA Note: UK to Start Further Development Work on 'Likely Needed' Digital Pound; 07Feb2023.pdf](#)
- m. [PDF](#) [EVIA Note: Types of Digital Assets and a move towards Taxonomy; 23Feb2023.pdf](#)
- n. [PDF](#) [FCA published feedback on what good and poor looks like when it comes to applications under the Cryptoasset AML_CFT regime; 25Jan2023.pdf](#) & [PDF](#) [FCA offers tips for crypto registration as it continues to show teeth; 25Feb2023.pdf](#)
- o. [PDF](#) [FSB report on the financial stability risks from decentralised finance \(DeFi\); 17 February 2023.pdf](#)
- p. [PDF](#) [GPTWG Feb 16 2023.pdf](#)
- q. [PDF](#) [HKMA consultation conclusion to the discussion paper on crypto-assets and stablecoins; 02Feb2023.pdf](#)
- r. [PDF](#) [HMT proposing a regulatory Crypto framework based on existing RAO activities of regulated trading venues – including the operation of an MTF; 02Feb2023.pdf](#)
- s. [PDF](#) [HMT; Future financial services regulatory regime for cryptoassets; Consultation and call for evidence; 02Feb2023; 1675270505828.pdf](#)
- t. [PDF](#) [Linklaters FAQs on the UKJT Legal Statement on Digital Securities; 15Feb2023.pdf](#)
- u. [PDF](#) [Market Sources report that Project Amber Has Shut Down: Neptune and Symphony ongoing; 25Feb2023.pdf](#)
- v. [PDF](#) [Note on HMT crypto proposals – practical discussion on next steps for firms and TAs; 25Feb2023.pdf](#)
- w. [PDF](#) [Note; Federal Banking Regulators Issue Joint Statement on Liquidity Risks to Banking Resulting from Crypto-Asset Market Vulnerabilities; 25Feb2023 .pdf](#)
- x. [PDF](#) [OMFIF; Quantum computing revolution approaches; Gary Seabold; 23Feb2023.pdf](#)
- y. [PDF](#) [SEC finalized rule changes to reduce the settlement cycle from \(T+2\) to \(T+1\); 17Feb2023.pdf](#)

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- aa. [PDF](#) [the-digital-pound-consultation-working-paper.pdf](#)
- bb. [EC consults with Member States' on the prospective implementation of Basel rules on crypto-asset exposures; 25Feb2023.pdf](#)
- cc. [PDF](#) [VERENA~2.PDF](#) [Verena Ross; ESMA; Developments in AI and blockchain; how do we protect investors and supervise markets effectively; Afore 7th Annual FinTech&Regulation Conference; 08Feb2023]

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- b. [PDF](#) [US and Asia Regulatory News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- c. [PDF](#) [US and Asia Regulatory News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- d. [PDF](#) [US and Asia Regulatory News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- e. [PDF](#) [January 2023 SEF Tracker; 17Feb2023.pdf](#)
- f. [PDF](#) [GMACSlides021323.pdf](#) & [CFTC GMAC to meet February 13;](#) & [PDF](#) [GMAC Meeting; Swap Intermediation Under Dodd-Frank; 25Feb2023 .pdf](#)
- g. [PDF](#) [CFTC Chair Benham Outlines 2023-2024 Agency Rulemaking Agenda; 06Feb2023 .pdf](#)
- h. [CFTC UTI / UPI Timeline 31 Jan 2024](#)
- i. [PDF](#) [CFTC Letter 23-01; Revised No-Action Positions for Swaps Intended to be Cleared; 03Feb2023.pdf](#) & [PDF](#) [CFTC MPD Expands Scope of No-Action Relief for 'Intended-To-Be-Cleared' Swaps; 03022023.pdf](#)
- j. [XLS](#) [CFTC P43 Reporting; DTCC Post Rewrite follow-ups; 13Jan2023.xlsx](#)
- k. [PDF](#) [ClarusFT; SOFR Swaps D2D Volumes & Share; Amir Khwaja; 03 February 2023.pdf](#)
- l. [PDF](#) [DSB derivatives identification service to launch in April; 25Feb2023.pdf](#) & [PDF](#) [EVIA UPI Brief.pdf](#)
- m. [PDF](#) [FIA & SIFMA AMG Poll Finds Members Expect Further Consolidation in Derivatives Markets; 11Feb2023.pdf](#)
- n. [PDF](#) [FSB chair publishes letter to G-20 finance ministers and central bank governors; Outlines 2023 priorities; 23Feb2023.pdf](#)
- o. [PDF](#) [House Republicans Criticize FTC Proposal to Ban Noncompete Clauses; 17Feb2023.pdf](#)
- p. [PDF](#) [Industry lobbies SEC as it adopts Final Rules to Shorten Standard Securities Settlement Cycle From T+2 to T+1; 25Feb2023.pdf](#) & [PDF](#) [AFME Statement on SEC T+1 commitment; 15Feb2023.pdf](#)
- q. [PDF](#) [SEC finalized rule changes to reduce the settlement cycle from \(T+2\) to \(T+1\); 17Feb2023.pdf](#) & [PDF](#) [SEC: US will move to a one-day settlement cycle \(T+1\) by May 2024; 16 February 2023.pdf](#) & [PDF](#) [AFME Statement on SEC T+1 commitment; 15Feb2023.pdf](#)
- r. [PDF](#) [SEC: US will move to a one-day settlement cycle \(T+1\) by May 2024; 16 February 2023.pdf](#)
- s. [PDF](#) [ISDA-Response-SEC-Request-for-Comment-UST-Clearing; 30Jan2023.pdf](#)
- t. [PDF](#) [January 2023 SEF Tracker; 17Feb2023.pdf](#)
- u. [PDF](#) [Limits on term SOFR use are skewing market; Issue likely to worsen unless changes are made, Citi's Peng warns; 31Jan2023.pdf](#)

- v. [PDF](#) [Note: Federal Banking Regulators Issue Joint Statement on Liquidity Risks to Banking Resulting from Crypto-Asset Market Vulnerabilities; 25Feb2023 .pdf](#)
- w. [PDF](#) [Note: Smooth start for CFTC's re-jigged swap reporting rules; 25Feb2023.pdf](#)
- x. [PDF](#) [PWC Take; CFPB proposes CC late fee limits, SEC Reg BI risk alert, and more; 04Feb2023.pdf](#)
- y. [PDF](#) [Release Number 8659-23; CFTC Designates Unique Product Identifier for Swaps Recordkeeping and Reporting; 16Feb2023.pdf](#)
- z. [PDF](#) [SEC proposes tougher custody rules with digital assets in focus; 17Feb2023.pdf](#)
- aa. [PDF](#) [SEC puts spotlight on insider trading with new disclosure requirements; 20Jan2023.pdf](#)
- bb. [PDF](#) [SEC settles against Bloomberg for misleading disclosures relating to FICC daily price valuations; 20Jan2023.pdf](#)
- cc. [PDF](#) [Marketing Rule and Standards of Conduct at forefront in SEC's exam priorities; 10Feb2023.pdf](#)
- dd. [PDF](#) [Senate Banking Committee Considers Approaches to Crypto Regulation; 17Feb2023.pdf](#)
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- hh. [PDF](#) [The SEC Equity Market Proposals; Communication Breakdown; 25Feb2023 .pdf](#)
- ii. [PDF](#) [The SEC Turns To Hedge Funds In WhatsApp Probe; 08 February 2023.pdf](#)
- jj. [PDF](#) [The US economy added more than half a million new jobs in January; 03 February 2023.pdf](#)
- kk. [PDF](#) [CFTC Picks Former Cybercrime Prosecutor as Enforcement Chief; points to commission's growing focus on digital-asset risks; 28Feb2023 .pdf](#)
- ll. [PDF](#) [EFF070-Q4-Reg-Update-UAE-Feb-2023.pdf](#)
- mm. [PDF](#) [MAS has issued a consultation regarding its Fair Dealing Guidelines; 20Jan2023.pdf](#)

17. Open Consultations

- [PS23/2: Changes to reporting requirements, procedures for data quality and registration of Trade Repositories under UK EMIR \[PDF\]](#)
- [Handbook Notice 107 \[PDF\]](#)
- [ESMA CP on a TRUM](#) approach to replace FAQs
- HMT Call for Evidence on SSR
- EU CfE on Electricity Markets Design
- [FS23/1: Synthetic Data Call for Input Feedback Statement \[PDF\]](#)
- FCA: [CP22/23: Regulatory fees and levies: policy proposals for 2023/24](#)
- [PDF](#) [IOSCO begins two 90-day carbon markets consultations; 10Nov2022.pdf](#)
- FCA: [CP22/20: Sustainability Disclosure Requirements \(SDR\) and investment labels](#)
- FCA: [CP22/19: Creation of a baseline financial resilience regulatory return](#)
- FCA: [CP22/26: Quarterly Consultation Paper No. 38](#)
- ESMA; [Consultation Paper on Market Outages](#)
- ESMA; [Consultation Paper on Draft RTS on Business Reorganisation Plans \(Articles 37\(4\) And 38\(4\) of...](#)
- ESMA; [Consultation on authorisation and registration of benchmark administrators](#)
- ESMA; [ESAs Call For Evidence On Greenwashing](#)

- ESMA: [Consultation on Review Of The Technical Standards Under Article 34 of Mifid II](#)
- ESMA: [Consultation Paper on Review Of RTS on Authorisation & Registration](#)

18. Weekly Roundups for February 2023

- [EVIA Weekly News; Week 08; 20th February 2023 to 26th February 2023.pdf](#)
- [EVIA Weekly News; Week 07; 13th February 2023 to 19th February 2023.pdf](#)
- [EVIA Weekly News; Week 06; 06th February 2023 to 11th February 2023.pdf](#)
- [EVIA Weekly News; Week 05; 30th January 2023 to 04th February 2023.pdf](#)
- [Open Consultations & Legislative Timetables; 27 February 2023.pdf](#)
- [EVIA LEBA Monthly Compliance Meeting Agenda; 0830 Wednesday 01st February 2023.pdf](#)

Regulatory Reporting Re-writes: reporting start dates

