
EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 01st November 2023

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

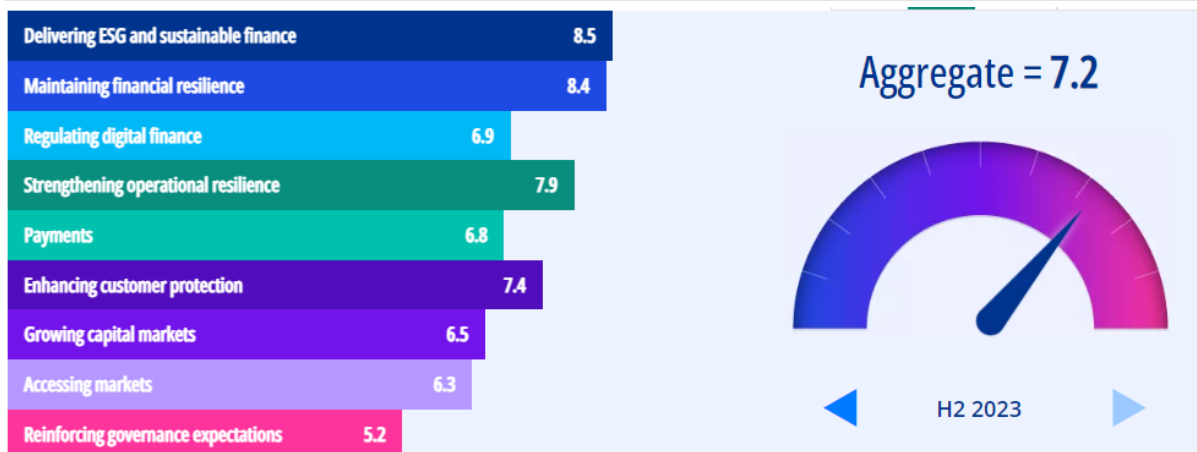
Please do suggest ideas around the meeting usefulness, format, guests, regulators and subgroups [Reporting; KYC&AML; Monitoring]

Matters arising

- a. Member comments / consensus seeking / practice standards / comment letters
- b. Aged Brokerage; Survey Structure; [Excel EVIA Outstanding Receivables Survey of UK entities for FCA; April 2023.xlsx](#)
- c. [PDF EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 01st November 2023.pdf](#)
- d. [PDF Updated-OTC-Derivatives-Compliance-Calendar-2023-10-1.pdf](#)
- e. [PDF FCA Handbook Notice No 113; 27Oct2023.pdf](#) – SMCR Remuneration & Financial Promotions
- f. [PDF FCA Regulation round-up - October 2023; 26Oct2023.pdf](#)
- g. [PDF FCA Market Watch#75; 31Oct2023; Market soundings under UK MAR.pdf](#)
- h. [PDF SwapsInfo Third Quarter of 2023 and Year-to September 30, 2023, ISDA Review; 31 October 2023 .pdf](#) & [PDF September 2023 SEF Tracker; 16Oct2023.pdf](#) & [PDF FX Platform Volumes September 2023; 08Oct2023.pdf](#)
- i. [PDF FCA outreach; Industry engagement roundtables on the UK Investment Research Review \(IRR\); 02Oct2023.pdf](#)
- j. [PDF EVIA Notes from FCA Trade Association CC; 1300; 10 October 2023.pdf](#) & [PDF TACC agenda 2310.pdf](#)
 - i. Introduction, incl. update on LIBOR transition; Jon Relleen
 - ii. UK MiFID non-equities transparency; Stephen McGoldrick
 - iii. Designated reporter regime: registration update; Stephen McGoldrick
 - iv. Intermittent trading venues; Tom Soden
 - v. UK Investment Research Review; Gergana Tsoneva & Gerard Breen
 - vi. UK EMIR reporting industry engagement group; Carmel Deenmamode & Oliver McCausland
 - vii. Future / Smarter Regulatory Framework; Sarah Raisin & Alex Smith
 - viii. Regulatory initiatives grid; Alex Smith & Freddie Levett
 - ix. AOB

Standing Items











1. Conduct



- a. [PDF Regulatory Barometer; H2 2023.pdf](#)
- b. FCA CP draft on D&I; [EVIA Draft response to the FCA D&I Consultation; 24 October 2023.docx](#)
 - i. [PDF On FCA D&I Consultation; 24 October 2023.pdf](#)
 - ii. [PDF Diversity and inclusion in regulated firms; 31 October 2023.pdf](#)
 - iii. [FCA's Non-Financial Misconduct Rules 'Lack Clarity'](#) - A plan by the Financial Conduct Authority to widen its conduct rules to cover non-financial misconduct like bullying or harassment more explicitly fails to clarify what constitutes breaches, according to legal experts
- c. [PDF CFTC; 10 Firms Fined for Failing to Preserve Electronic Communications & Swap Dealers Fined for Trade Reporting Violations; 05Oct2023.pdf](#)
- d. [PDF CFTC pushes for firmer enforcement on repeat offenders; releases enforcement advisory on penalties, monitors & admissions; 20Oct2023.pdf](#)
- e. [PDF ICE Circular 23-153; Disciplinary Notice; Summary Fine issued to TP ICAP E&C Limited.pdf](#)
- f. [PDF A&O; Seminar Slides; FCA and PRA Enforcement Themes and Trends; 13Oct2023.pdf](#)
- g. [PDF UK failure to prevent fraud offence; What do you need to do now; 28Oct2023.pdf](#)
 - i. [PDF Economic Crime and Corporate Transparency Bill receives Royal Assent; 28Oct2023.pdf](#)
- h. [PDF FCA supervisory priorities for wholesale banks; Managing risks in a volatile environment; 31 October 2023.pdf](#)
- i. [PDF Acuiti; Trade-Surveillance Survey Report; 16Oct2023.pdf](#)
- j. [PDF The Appointed Representatives Regime; key messages from the latest FCA data; 13Oct2023.pdf](#)
- k. [ESMA guidelines on MiFID II product governance requirement](#)
- l. [PDF FCA on AI; speech by Jessica Rusu entitled Flipping the coin in financial services; 05Oct2023.pdf](#)
 - i. In this speech Ms Rusu warns that if we focus too narrowly on AI alone, we miss the opportunity to connect the dots with the broader issues related to digital infrastructure, a growing reliance on the cloud and other third-party tech providers, as well as the important role that good quality data plays in the adoption of AI and how all this impacts consumer safety.
- m. [New FMSB Chair, Jonathan Moulds](#) replaces Mark Yallop who stood down as Chair in May 2023 after seven years
 - i. Noting the FMSB Three Lines of Defence user template from August

- n. [Bank of England Money Markets Code review](#); Code subcommittee is required to review this Code every three years.
- i. Some of the issues to be considered during the review this time round are: reinforcement of the messaging around settlement discipline and high standards of professionalism in the London Money Market, unexpected Bank Holidays (likely to set out a link to best practice in the event of an unexpected Bank Holiday), information on where to look for guidance on what to do during a non-standard CREST closure, and potentially standardisation in the look-back period for floating rate CDs.
 - ii. It aims to have a draft Code in place by the year end, giving time for this draft document to be circulated for comment from all members of the Bank's Money Markets Committee, Money Markets Code subcommittee and its Securities Lending Committee in readiness for the April adoption.
- o. Last Month's UK Policy Dinners / Speeches

2. Rule Books

- a. FCA & ESMA ongoing work on TV Outages
- b.  [Questions arising from FCA Call on Transparency Adjustments; 02October2023.pdf](#)
- c.  [EU Council Trilogue Agreement for MiFIR & MiFID2 Review \["MiFID3"\]; 19Oct2023.pdf](#) &  [EU Council MiFID3 & MiFIR2 Trilogue Outcomes note regarding changes for data transparency, CTPs, DTO, and PFOF; 19Oct2023.pdf](#)
- d. PFOF;
 - i. *FCA: There are circumstances where a MM can be charged. Especially in certain asset classes. If a broker asks the entire market for a price i.e. uses a 3rd party system to disseminate a price and there are strong conflicts of interest policies and systems and controls in place, it could be argued that PFOF risk is mitigated.*
- e. EU:  [Transaction Reporting changes within the MiFID3 & MiFIR2 Revisions; October2023.pdf](#)
 - i. *Broadening the scope of firms caught by the obligation to report*
 - ii. *Strengthening the obligation on NCAs*
 - iii. *Instruments in scope*
 - iv. *TVTIC in Level One*
 - v. *End of the short selling flag*
 - vi. *Branch Reporting*
 - vii. *Pre-Trade Waivers*
 - viii. *End of the SSTI*
 - ix. *Linking*
- f. [On a UK DTO for sterling denominated OIS \(1 to 10 years, 12, 15, 20, 25, and 30\)](#)
- g.  [ESMA74-2134169708-6975_Supervisory_Briefing_Circuit_Breakers.pdf](#) &  [ESMA guidelines to NCAs seeking convergence on the supervision of RM, MTF and OTF MiFIR "Circuit breakers"; 12Oct2023.pdf](#)
- h. AFM Discussion on Cross Border Access / Liquidity
- i. UK – EU MOU Statement
- j. [Clarus](#) and [ISDA Publications](#) on Volumes and Location of Swap Trading
- k.  [Notes; DTCC North America working group; 25 October 2023.pdf](#) & Block/Cap Deferral
- l.  [On CFTC Block and Cap Sizes; 18Oct 2023.pdf](#) &  [2020_10_07 CFTC Overhauls Swaps Reporting Rules pdf.pdf](#)
- m.  [UK Overseas persons' exclusion & FCA Approach to Overseas Firms; 09Oct2023.pdf](#)

- i. *The thought process has been to operationalise Nikhil's City Week Speech where he states predominately UK focused businesses should continue to maintain operations and authorisation in the UK as to allow effective supervision.*
- ii. *This may be via a subsidiary or a branch set-up. For firms not running a UK focussed business and only has a handful of clients, the OPE may be an appropriate route (without FCA authorisation).*
- iii. [Nikhil Speech](#)
- n. [esma70-872942901-38_gas_markets_structures_issues \(Oct2023\).pdf](#) & [ESMA FAQ updates on CCP access to a trading venue; 13Oct2023.pdf](#)
- o. [Note; ESMA publishes analysis on the evolution of EEA share market structure since the application of MiFID II.docx](#)
- p. **Benchmarks / LiBOR**
 - i. [FISMA proposal for a review of the European Benchmarks Regulation; 17Oct2023.pdf](#)
 - ii. [EGESC Minutes set out the imminent DG FISMA BMR review; 10Oct2023.pdf](#)
 - iii. [ISDA-Future-Cessation-Guidance--2021-ISDA-Interest-Rate-Derivatives-Definitions-and-2006-ISDA-Definitions-ICAPZAR.pdf](#)
 - iv. [d323-2023-consultation-paper-on-enhancements-to-euribors-hybrid-methodology---final.pdf](#)
- q. **Crypto & Digital Assets**
 - i. AI and FCA "SMAC" [FCA policy lead - Henrike Mueller]; [FCA on AI; speech by Jessica Rusu entitled Flipping the coin in financial services; 05Oct2023.pdf](#)
 - ii. [Crypto regulatory round-up; Regulators fine-tune upcoming frameworks; 31 October 2023.pdf](#)
 - iii. [Updated FCA webpage on ~Cryptoasset AML_CTF regime~; feedback on good and poor-quality applications; 05Oct2023.pdf](#)
 - iv. [ESMA has released its second set of MICA technical standards and calls for quicker implementation; 20Oct2023 .pdf](#) & [ESMA; 317 pages of Crypto-Assets Regulation Technical Standards under the second MICA consultation package; 06Oct2023.pdf](#)
 - v. [ECB; Panetta Letter to ECON & Ten things to know about digital euro; 18Oct2023.pdf](#)
 - vi. [Digital assets 2023 - OMFIF; examines the developing ecosystem; 07Oct2023.pdf](#) & [Regulators are rebuilding trust in digital assets; OMFIF; 07Oct2023.pdf](#)
- r. **FX**
 - i. Swaps reporting under EMIR Refit
 - ii. Draft EVIA Response to [gfixc_3year_review_outcomes.pdf](#)
 - iii. [Update on liberalisation of onshore KRW FX markets; 19oct2023.pdf](#)
 - iv. [ClarusFT; 3Q23 CCP Volumes and Share in CRD and FXD; Amir Khwaja; 06Oct2023.pdf](#)
 - v.

3. Reporting Topics and Queries










- i. Transaction Reporting Questions Arising:
 - 1. Regarding regulatory text that novation's are not reportable related to derivatives contracts: what course of action should be followed if novation in a Bond or Equity is not classified as a derivative contract.
 - a. So is the same reporting behaviour expected e.g. it is excluded or would you report novated leg including the original execution.
 - b. Especially where a broker entity novates the transaction to another entity for clearing and settlement purposes

- c. *5.6.2.4 Exclusions under Article 2(5)(e) Article 2(5)(e) of Commission Delegated Regulation (EU) 2017/590 excludes from a transaction post trade assignments and novation's in derivatives contracts when one of the parties to the derivative contract is replaced by a third party. Therefore an early termination of a contract due to clearing and the subsequent novation of the same which results in replacement of an original party to the contract is not reportable.*
- 2. TVTIC at trade execution or at allocation level of appointment
- 3. On the guidance note for Field #59; Transaction Reporting - progress edit / rewrite
- ii. [PDF January 2024 begins a truly tumultuous year for trade and transaction reporting: 26Oct2023.pdf](#)

Jurisdiction	Regulator	Status	Description	Date
Japan	JFSA	Confirmed	ReWrite	1 April 2024
EU	ESMA	Confirmed	EMIR Refit	29 April 2024
UK	FCA	Confirmed	EMIR Refit	30 September 2024
Australia	ASIC	Confirmed	ReWrite	21 October 2024
Singapore	MAS	Expected	ReWrite	"October 2024"
Canada	CSA	Expected	ReWrite	Q1 2025
Hong Kong	HKMA	Expected	ReWrite	Q3 2025
- iii. UTI & TVTIC
 - 1. [PDF EVIA; On TVTIC vs UTI; 06Oct2023.pdf](#) & [PDF Recent Focus on TVTIC Structure and Validity;.pdf](#)
- iv. ANNADSB Go Live on UPI; [UPI](#) and AnnaDSB Webinar last week; [DSB's Slides](#) & [Play Recording](#)
 - 1. [PDF The Unique Product Identifier \(UPI\); How to search for, and create, a UPI via the GU; 20Oct2023.pdf](#)
 - 2. [XLSX UPI Plus Specification.xlsx](#) & [PDF UPI + Proposal for Transparency Purposes & £-OIS DTO; 31Oct2023 .pdf](#) & [PDF UPI Plus Advocacy Paper.pdf](#)

Type	Attribute	Financial Instruments	Comments
Amendments to Existing Fields	Instrument identification code type	For all financial instruments	This field should be updated to mandate the usage of UPI for OTC derivatives
	Instrument identification code	For all financial instruments	This field should be updated to mandate the usage of UPI for OTC derivatives
New Field to be added to Table 2 of RTS 2	Effective Date	For derivatives	The combination of Effective Date, Termination Date and the existing "Trading Date and Time" field will allow the tenor of the contract to be derived
	Termination Date	For derivatives	The combination of Effective Date, Termination Date and the existing "Trading Date and Time" field will allow the tenor of the contract to be derived
	Clearing House LEI	For derivatives	This field should be added to provide visibility of differing prices between CCPs
	Upfront payment	For CDS instruments	Only relevant in the context of CDS, the up-front payment is considered a price-impacting field and therefore warrants inclusion
	Spread	For derivatives	The spread for certain IRS trades containing a floating leg is considered a price-impacting field and therefore warrants inclusion. As this is only relevant for a subset of IRS, a value of 0 should be allowed where no spread exists


- v. EMIR Refit
 - 1. RTN
 - 2. [PDF ESMA74-362-2281_Guidelines_EMIR_REFIT.pdf](#)
 - 3. [EMIR Refit; Non-financial regulatory reporting – a period of change; 31 October 2023.pdf](#)
 - 4. [EMIR Refit introduces wholesale change at a granular level for EMIR reporting; 27Sep2023.pdf](#)

5.  [Comments & Questions Regarding EMIR Refit Data in OMP & Broker Confirmations; EFET Regulatory Reporting Request to Brokers - MIC; ISIN; UPI; 20Sept2023.pdf](#)
6. Comply [Two October Briefings](#) on Transaction Reporting Quality;
 - a. Common errors made by firms across the industry
 - b. Managing remediation projects and interaction with the FCA
 - c. Horizon scanning—possible future changes
 - d. Traceability, Accountability & Escalation
 - e. Risk Exposure & Mitigation
 - f. Demonstrating Effective Exception Handling
 - g. Evolving and Adapting Systems and Controls
 - h. [And again tomorrow](#); MiFID Insights Breakfast Roundtable; Thursday, 2 November 2023; 8.30am-10.30am; One Moorgate Place, City Of London
- vi.  [ESMA guidelines Tracker; Relevant Files; 23October2023.xlsx](#)
- vii.  [Relevant ESMA technical standards \(BMR, EMIR, MiFIR, MAR\); 20Oct2023.xlsx](#)
- viii.  [flag_scenarios_12_oct_23.xlsx](#)
- ix. [T+1 Taskforce](#);
 1. T+1 Taskforce; Further SteerCo Meeting T+1 on 04th November
 2. T+1 Taskforce; Further SteerCo Meeting T+1 on 18th Oct
 3.  [EU T+1 TF - Position paper on T+0 v1.pdf](#)
- b. **Exchange Blocks**
 - i. FATF & ECB/ ESMA CCP Recognition
 - ii.  [ECB non-paper that recommends high minimum thresholds for Active CCP Clearing Accounts; 20Oct2023 .pdf](#)
- c. **Energy and Commodities**
 - i.  [LEBA Monthly Volumes & Trayport Commodities Report September 2023; 19October2023.pdf](#) &  [Trayport Volumes Report; Data appendix Q3 2023; 19Oct2023.xlsx](#)
 - ii. ACER Meetings and REMIT2 Taskforce
 - iii. Any role for brokers to perform as DRR's/ DRE's for NFC- clients?
 - iv. EFET Call on EMIR3 Data; ISINs and MICs;  [Comments & Questions Regarding EMIR Refit Data in OMP & Broker Confirmations; EFET Regulatory Reporting Request to Brokers - MIC; ISIN; UPI; 20Sept2023.pdf](#)
 - v. ESMA and ACER Detailed Reports
 - vi. FCA Planned Commodity Derivatives CP for 19 December
 - vii. FCA Planned Commodity Derivatives CP for 19 December
 - viii. Further call with EFET on EMIR Reporting
 - ix. GoO's as TOTV
- d. **Other**
 - i. The Financial Action Task Force on Friday removed Albania, the Cayman Islands, Jordan, and Panama from its watch list or "gray list," indicating that those jurisdictions have satisfied FATF concerns over their efforts to prevent money laundering and/or terrorism financing.
 1. Bulgaria wound up being added to the gray list, indicating the opposite. The FATF also suggested that a number of jurisdictions, including the UAE, could make their way off of the list as soon as February.




















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2. Being placed on the gray list doesn't carry any automatic penalty, unlike the FATF's blacklist, but it can have a chilling effect on investment so there are economic benefits to getting off of it.
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Annexes, Links and Details

4. Sanctions

- a.  [New UK, EU and US Sanctions on Russia and Belarus update as of 28 September 2023; 05Oct2023.pdf](#)
- b. [Frozen Russian assets earn €3B for Euroclear](#)
- c. [EU Consolidated Sanctions List:](#)

5. Latest FCA & BOE Policy Development updates




- a.  [BoE CEO Letter and publishes thematic review of banks' fixed-income financing; 05Oct2023.pdf](#)
- b.  [BOE Markets Committees Minutes; MM Code Sep2023; FXJSC June2023; FX Legal SubCo; FX Operations SubCo; 23Oct2023.pdf](#)
- c.  [BoE publishes speech on preparing for cyber risks and operational resilience; 19Oct2023.pdf](#)
- d.  [BoE publishes thematic review of banks' fixed-income financing; 05Oct2023.pdf](#)
- e.  [BoE's Huw Pill, 'More work to do' to get to 2%; facing a very 'different distribution of macroeconomic shocks'; 18Oct2023.pdf](#)
- f.  [EVIA Notes from FCA Trade Association CC; 1300; 10 October 2023.pdf](#) &  [TACC agenda 2310.pdf](#)
- g.  [FCA fines Equifax Ltd £11 million for role in one of the largest cyber-security breaches in history; 13Oct2023.pdf](#)
- h.  [FCA Handbook Notice No 113; 27Oct2023.pdf](#)
- i.  [FCA issues Policy Statement on remuneration; ratio between fixed & variable components of total remuneration \('bonus cap'\); 26Oct2023.pdf](#)
- j.  [FCA on AI; speech by Jessica Rusu entitled Flipping the coin in financial services; 05Oct2023.pdf](#)
- k.  [FCA outreach; Industry engagement roundtables on the UK Investment Research Review \(IRR\); 02Oct2023.pdf](#)
- l.  [FCA publishes key findings from multi-firm review on the proceeds of fraud; detecting and preventing money mules; 19Oct2023.pdf](#)
- m.  [FCA Regulation round-up - October 2023; 26Oct2023.pdf](#)
- n.  [FCA Regulation round-up September 2023.pdf](#)
- o.  [FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
- p.  [FCA; Speech by Nikhil Rathi; Collaborate to compete; why we must all embrace a growth mindset; 16Oct2023.pdf](#)
- q.  [Grading the governor; By Lionel Barber in Prospect; October 4, 2023.pdf](#)
- r.  [Hidden in Plain Sight; SO'M D-Views; ISDA urges action on derivatives data; 18Oct2023.pdf](#)

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- s.  [ICE Circular C23_115; Cessation of clearing of CDS Contracts; 27Oct2023.pdf](#)
 - t.  [money-markets-committee-minutes-september-2023.pdf](#)
 - u.  [Note; BOE; FS2-23; Artificial Intelligence and Machine Learning; 28Oct2023.pdf](#)
 - v.  [Notes from 2023 Q3 TACIG Meeting; 04October2023.pdf](#)
 - w.  [On FCA D&I Consultation; 24 October 2023.pdf](#)
 - x.  [UK EMIR Reporting Industry Engagement Group - DRAFT Transitional Arrangements QA - 12 October 2023.pdf](#)
 - y.  [Updated FCA webpage on ~Cryptoasset AML_CTF regime~; feedback on good and poor-quality applications; 05Oct2023.pdf](#)
 - z.  [Questions arising from FCA Call on Transparency Adjustments; 02October2023.pdf](#)
 - aa.  [FCA updates webpage on UK SFTR news; publishes new SFTR Validation Rules; 27Oct2023 .pdf](#)
 - bb.  [The Appointed Representatives Regime; key messages from the latest FCA data; 13Oct2023.pdf](#)

6. UK Government

- a.  [European, UK & Swiss Regulatory & Political News; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- b.  [European, UK & Swiss Regulatory & Political News; Week 40; 02nd October 2023 to 07th October 2023.pdf](#)
- c.  [European, UK & Swiss Regulatory & Political News; Week 41; 09th October 2023 to 14th October 2023.pdf](#)
- d.  [European, UK & Swiss Regulatory & Political News; Week 42; 16th October 2023 to 21st October 2023.pdf](#)
- e.  [European, UK & Swiss Regulatory & Political News; Week 43; 23rd October 2023 to 28th October 2023.pdf](#)
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- h.  [UK failure to prevent fraud offence; What do you need to do now; 28Oct2023.pdf](#)
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- j.  [Update on UK Economic Crime and Corporate Transparency Bill; Failure to prevent fraud offence; 20Oct2023.pdf](#)
- k.  [231019-uk-eu-forum-joint-statement_en.pdf](#) &  [HM Treasury joint statement on first EU-UK Financial Regulatory Forum; 23Oct2023.pdf](#)
- l.  [Scottish 'kilts' could be a financial innovation too far; Edinburgh will pay a premium for issuing its own bonds; 23Oct2023.pdf](#)




































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

- a.  [EVIA Prudential Roundup; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- b.  [EVIA Prudential Roundup; Week 41; 09th October 2023 to 14th October 2023.pdf](#)
- c.  [EVIA Prudential Roundup; Week 40; 02nd October 2023 to 07th October 2023.pdf](#)

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- d. [PDF EVIA Prudential Roundup; Week 42; 16th October 2023 to 21st October 2023.pdf](#)
 - e. [PDF EVIA Prudential Roundup; Week 43; 23rd October 2023 to 28th October 2023.pdf](#)
 - f. [PDF Are the valuations of investment banks unsustainable; Jamie Dimon says new capital requirements could make banks un-investable; Ghose; IFR; 10Oct2023.pdf](#)
 - g. [PDF BoE CEO Letter and publishes thematic review of banks' fixed-income financing; 05Oct2023.pdf](#)
 - h. [PDF BoE publishes speech on preparing for cyber risks and operational resilience; 19Oct2023.pdf](#)
 - i. [PDF ClarusFT; Using SACCR to monitor Counterparty Credit Risk; Chris Barnes; 11Oct2023.pdf](#)
 - j. [PDF DNB provides clarification for the calculation of the K-COH and K-DTF under the IFR; 12Oct2023.pdf](#)
 - k. [PDF FCA; FIN073 – Baseline Financial Resilience Report; Resilience Survey; 02Oct2023.pdf](#)
 - l. [PDF Notes from 2023 Q3 TACIG Meeting; 04October2023.pdf](#)
 - m. [PDF Basel Committee report on the 2023 banking turmoil; 05Oct2023.pdf](#)
 - n. [PDF FCA issues Policy Statement on remuneration; ratio between fixed & variable components of total remuneration \('bonus cap'\); 26Oct2023.pdf](#)

8. EU Rules and ESAs

- a. [PDF European, UK & Swiss Regulatory & Political News; Week 39; 25th Sep 2023 to 30th Sep 2023.pdf](#)
- b. [PDF European, UK & Swiss Regulatory & Political News; Week 40; 02nd October 2023 to 07th October 2023.pdf](#)
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- e. [PDF European, UK & Swiss Regulatory & Political News; Week 43; 23rd October 2023 to 28th October 2023.pdf](#)
- f. [PDF 231017-proposal-reporting-requirements_en.pdf](#)
- g. [PDF CEPs; A digital euro beyond impulse – think twice, act once; 26Oct2023.pdf](#)
- h. [PDF CER insight 'Can the European Political Community survive' by Luigi Scazzieri; 17Oct2023.pdf](#)
- i. [PDF DeFi; the ACPR draws conclusions from its public consultation, and outlines concrete avenues for regulation; 12Oct2023.pdf](#)
- j. [PDF EBA & ESMA CP on Guidelines on the suitability of management body of CASPs and issuers of ARTs; 25Oct2023.pdf](#)
- k. [PDF EBA issues technical advice under MiCA on classification of stablecoins as significant and on supervisory fees; 04Oct2023.pdf](#)
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- o. [PDF ESMA guidelines on MiFID II product governance requirements & launches CSA on MiFID II sustainability requirements; 05 October 2023.pdf](#)

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- r.  [ESMA published its October 2023 edition of the Spotlight on Markets Newsletter.pdf](#)
- s.  [ESMA reports on DeFi market developments and smart contracts; 13Oct2023.pdf](#)
- t.  [ESMA Table of third-country CCPs recognised under EMIR; 25Oct2023.pdf](#)
- u.  [ESMA VR Speech to AFME; 'Being ready for the digital age'; 18Oct2023.pdf](#)
- v.  [ESMA; 317 pages of Crypto-Assets Regulation Technical Standards under the second MICA consultation package; 06Oct2023.pdf](#)
- w.  [ESMA12-2121844265-3183_Report_on_the_DLT_Pilot_Regime_Study_on_transaction_reporting_based_on_RTS_22.pdf](#)
- x.  [ESMA24-229244789-4595_SMSG_Advice_on_MiCA_package_1.pdf](#)
- y.  [ESMA24-450544452-1848_Annex_to_the_Opening_Statement-2023_ECON_Annual_Hearing.pdf](#)
- z.  [esma70-155-10816_annex_to_transparency_opinion\(19Oct2023 Update\).xlsx](#)
- aa.  [esma70-872942901-38_gas_markets_structures_issues\(Oct2023\).pdf](#) &  [ESMA FAQ updates on CCP access to a trading venue; 13Oct2023.pdf](#)
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- dd.  [ESMA91-372-2811_ESMA_Opinion_on_CCP_backtesting.pdf](#)
- ee.  [EU becomes 'real player' in debt markets but faces investor scepticism; FT; 12Oct2023.pdf](#)
- ff.  [EU Council Trilogue Agreement for MiFID2 Review \["MiFID3"\]; 19Oct2023.pdf](#)
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





























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- b. [US and Asia Regulatory News; Week 42; 16th October 2023 to 21st October 2023.pdf](#)
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- d. [US and Asia Regulatory News; Week 40; 02nd October 2023 to 07th October 2023.pdf](#)
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- f. [Scope and Classification of Swap Market Participants under the CEA_DoddFrank.pdf](#)
- g. [FIA Tech expands settlement platform remit to include buy-side; 05Oct2023.pdf](#)
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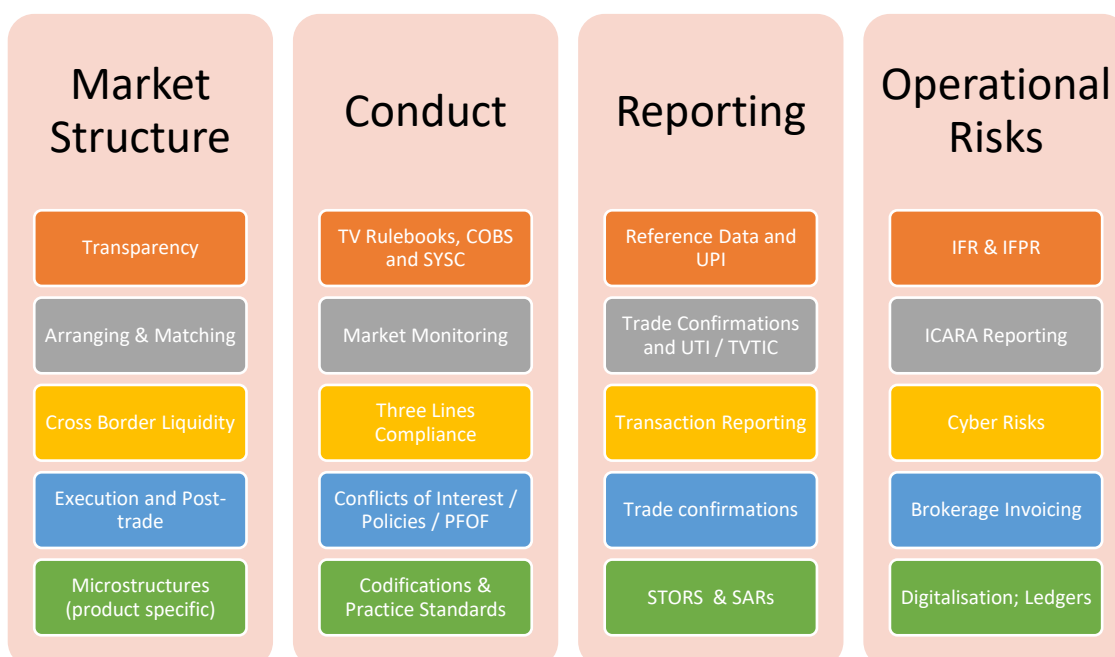
- **Open Consultations - EVIA/LEBA Responding**

- [PDF](#) [Open Consultations & Legislative Timetables; 30 October 2023.pdf](#)
- [CP23/20: Diversity and inclusion in the financial sector – working together to drive change \[PDF\]; 25 Sep2023; Closes 18 Dec 2023](#)

- [EMMI Consultation on Euribor](#); Proposed Changes to Euribor Methodology; until 11 December 2023
- ESMA [Call for evidence on the shortening of the settlement cycle](#); 07 Oct 2023; Closes 15 Dec 2023 (Via JTAG Response)
- ESMA; [Second Consultation on the Technical Standards specifying certain requirements of Markets in Crypto...](#) Closes 14 December 2023
- ESMA [Consultation Paper on the Technical Standards specifying certain requirements of MiCA](#) (2nd package) Closes 12 Dec 2023
- [Non-equity securities - Engagement Paper 4 \[PDF\]](#)
- Possible response - Unlikely for the other 5 engagement papers
- FCA [CP23/14: Quarterly Consultation Paper No. 41](#)
- **Responses**
- EVIA Response to [gfix_3year_review_outcomes.pdf](#)
- [EVIA Response to FCA CP23_15: The Framework for a UK Consolidated Tape; 15 September 2023.pdf](#)
- [EVIA Response to HMT Call for Evidence; Senior Managers & Certification Regime; June 2023.pdf](#)
- [EVIA Response to AnnaDSB 2023 Annual Consultation OTC-ISIN; 26May2023 \(1\).pdf](#)
- [EVIA Response to ESMA CP 70-156-6307 on a Manual for post-trade transparency; 31March2023.pdf](#)

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- b. [EVIA Weekly News; Week 42; 16th October 2023 to 21st October 2023.pdf](#)
- c. [EVIA Weekly News; Week 41; 09th October 2023 to 14th October 2023.pdf](#)
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- f. [DRAFT Priorities for Q4 2023 EVIA Council; 11October2023.pdf](#)



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