

EVIA & LEBA Monthly Compliance Meeting

0830 Wednesday 07th February 2024

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. Matters Arising and Member Comments/ TdT
- b. [PDF EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 07th February 2024.pdf](#)
- c. Aged Brokerage; Survey Structure; [Excel EVIA Outstanding Receivables Survey of UK entities for FCA; April 2023.xlsx](#)
- d. [PDF Updated-OTC-Derivatives-Compliance-Calendar-2024-2-1.pdf](#) & [PDF Sell Side Horizon Scanner Q1 2024; 24Jan2024.pdf](#) & [PDF ESMA24-229244789-4620_Overview_of_planned_consultation_papers_2024.pdf](#)
- e. [PDF Note; FCA Market Watch 76; Observations about 'flying' and 'printing'; 31January2024.pdf](#) & [PDF Market Watch 76; Recent observations about 'flying' and 'printing'; 31Jan2024.pdf](#)
- f. [PDF FCA handbook-notice-115.pdf](#)
- g. [PDF FCA Regulation round-up - January 2024.pdf](#)
- h. [PDF UK REUL and FSMA 2023 Revocations over New Year; 14Jan2024.pdf](#)
 - i. REUL tear-up
 - ii. AML legislation
- i. [PDF 2024_01_15_cp_acpr_work_program_2024.pdf](#)
- j. [PDF AFM publishes supervisory agenda for 2024; 19Jan2024.pdf](#)
- k. Market activity and size
 - i. [PDF FX Platform Volume reporting for January 2024; 04Feb2024.pdf](#) & [PDF FX Platforms Report Strong December; 04Jan2024.pdf](#)
 - ii. [PDF December 2023 SEF Tracker; 25Jan2024.pdf](#)
 - iii. [PDF LEBA Monthly Volumes & Trayport Commodities Report; December & Q4 2023; 26January2024.pdf](#)
 - iv. [PDF ICMA-Repo-Survey-December-2023.pdf](#)
- l. NFCs trading directly on venue; EMIR Data in Trade Confirms (ISIN and RTN again) – should brokers connect to or offer EMIR Reporting

- i. [PDF EVIA Note; Bloomberg Reporting Tools; Webinar; 06feb2024.pdf](#)
- m. [PDF EVIA Note; Q1-2024 JTAG Call on EU and UK Wholesale Market Policy, MiFIR, UK Rules, CMU etc; 22January2024.pdf](#)

Standing Items

1. Conduct

- a. [PDF Discussion with Chris Simon & Martin Lane, FCA Wholesale sectoral team on forthcoming work on Wholesale Markets Conduct; 17Jan2024.pdf](#)
 - i. [PDF FCA Call for Evidence on Non-Financial Misconduct](#)
- b. [PDF Note; FCA Market Watch 76; Observations about 'flying' and 'printing'; 31January2024.pdf](#)
- c. Member question: When we trade sanctioned bonds, OTC, are these classed as non-MiFiD ? and therefore non-reportable?
- d. UK Policy reminder: [PDF Short selling reporting threshold will change on 5 February](#)
- e. [NRF Podcast on SARs Reporting Best Practices on 06th February 2024](#) - reporting obligations under the Proceeds of Crime Act 2002 (POCA), in particular how to draft and submit good quality suspicious activity reports. The podcast aims to assist MLROs, nominated officers and other relevant functions, such as in house legal counsel and compliance officers, to fulfil their obligations under POCA.
- f. [PDF EU Council & Parliament reach provisional agreement on AMLD6 and AMLR1; 24Jan2024.pdf](#)
 - i. [PDF Council of the EU & European Parliament strike deal on stricter AML rules; 20Jan2024.pdf](#)
- g. [PDF January Conduct Rules Roundup; 20Jan2024.pdf](#)
- h. [PDF The top five 2023 markets conduct regulatory blog topics; 18Jan2024.pdf](#)
- i. [PDF Understanding FINRA Rule 3310; FINRA continues push for transparency with annual independent AML review; 04Feb2024.pdf](#)
- j. Bovill note; [PDF "Culture of compliance" means more than expecting your staff to follow the law; 04Feb2024.pdf](#)
- k. [PDF J.P. Morgan Securities LLC Agrees to Pay \\$18 Million for Whistleblower Protection Violations; 22Jan2024.pdf](#)
- l. [PDF ESMA50-524821-3107_TRV_1-24_risk_monitor.pdf](#)
- m. [PDF Simmons webinar slides UKEU financial services horizon scanning outlook 20241706629581580.pdf](#)
- n. [PDF Allen & Overy Presentation; Regulation Gets Smart; 24Jan2024.pdf](#)

2. Rule Books

- a. FCA CP 23-32: Bond and Derivatives Transparency: Roundtable on Thurs 1st Feb
 - i. [Summary of FCA Discussion at Thursday's Roundtable](#)
- b. On Mutual Recognition
 - i. FCA comments on UK-Singapore; Needs to rely on the OPE, therefore turns on Nikhil Rathi City Week 2023 speech; [PDF FCA comments on UK-Singapore; Needs to rely on the OPE; 05Feb2024.pdf](#)
 - ii. [PDF The UK-Swiss Mutual Recognition Agreement; 22Jan2024.pdf](#)
 - iii. Member Q: *Can LSE provide its exchange to members in the EU in a manner different to MTFs?*

- iv. UK – UAE MOU v non-recognition of DCCC by ESMA
- c. FCA & ESMA & now IOSCO ongoing work on TV Outages
 - i. [PDF IOSCO CP to establish principles for TV outages](#)
 - ii. FCA SMAC Presentation last week focused on cash equities
- d. Response to FCA CP on CCP revenue sharing of set up costs;
 - i. Per [PDF FCA discussion Monday Jan 15th](#) ;
 - ii. [PDF ESMA12-437499640-2360_Study_on_data_formats_and_transmission_protocols.pdf](#)
- e. MiFID3 Changes; [PDF EU final MiFID3 and MiFIR2](#)
 - i. [ESMA updates its opinion on the assessment of pre-trade transparency waivers for equity and non-equity instruments](#)
 - ii. [PDF ESMA publishes data for quarterly bond liquidity assessment, the systematic internaliser calculations and the CTP calculations; 01Feb2024.pdf](#)
- f. [PDF FCA CP 23/27 on commodity derivatives](#)
 - i. [Word LEBA Response to FCA; cp23-27; on reforming the commodity derivatives regulatory framework; Closes 16Feb2024.docx](#)
 - ii. met with EFET on this
- g. ESMA [PDF CSDR](#) proposed Penalty Regime impact on Matched Principal arranging. [see attachments] – also concerns under [CREST rule 6](#) on settlement discipline.
 - i. [PDF Update on CSDR Refit; 03Feb2024.pdf](#)
 - ii. [PDF January update on the EU CSDR review; mandatory buy-in regime; 10Jan2024.pdf](#)
 - iii. [Word ESMA74-2119945925-1704_Reply_Form_for_CSDR_Consultation_Paper_on_Technical_Advice_on_Penalty_Mechanism.docx](#)
- h. [PDF IOSCO consultation report on Post Trade Risk Reduction Services; IOSCOPD760; 26Jan2024.pdf](#)
- i. **Benchmarks / LiBOR**
 - i. [PDF ClarusFT; RFR Adoption Review 2023; Chris Barnes; 25 January 2024.pdf](#)
 - ii. [PDF Joint-Response-to-EC-on-BMR; 24Jan2024.pdf](#)
 - iii. [PDF ISDA-Clarus-RFR-Adoption-Indicator-Quarterly-Summary; 29Jan2024.pdf](#)
 - iv. [PDF On the cessation of synthetic sterling LIBOR; 10Jan2024.pdf](#)
- j. **Crypto & Digital Assets**
 - i. [Two ESMA Papers on MiCA perimeter:](#)
 1. [PDF ESMA75-453128700-52_MiCA_Consultation_Paper_-_Guidelines_on_the_qualification_of_crypto-assets_as_financial_instruments.pdf](#)
 2. [PDF ESMA35-1872330276-1619_Consultation_Paper_on_the_draft_guidelines_on_reverse_solicitation_under_MiCA.pdf](#)
 - ii. [PDF The future financial services regulatory regime for cryptoassets in the UK; 20Jan2024.pdf](#)
 - iii. [PDF Ahead of the Curve. Crypto for Christmas UK cryptoasset regulatory framework.pdf](#)
- k. **FX**
 - i. Member questions on reference data for FX Spot validity in FX Strategy
 - ii. [PDF FCA MRT Response to two and questions on FX Swaps; 09 January 2023.pdf](#)

3. Reference Data & Reporting Topics and Queries

- a. [PDF EVIA; Note of transaction reporting WG call; Complex ID Linkages; 30Jan2024.pdf](#)

Microsoft Teams meeting; [Click here to join the meeting](#)
 Meeting ID: 322 354 319 690; Passcode: enQfaH
Or call in (audio only); +44 20 4526 6312,457529657# United Kingdom, London
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- b. [PDF](#) [FISMA quandary](#) regarding a [PDF](#) [UPI v ISIN](#) for MiFIR Derivatives RTS 2, 23
- c. April RTS2 schema's take effect
- i. [PDF](#) [Noting on upcoming April UK changes to transparency Flags from FCA PS 21_4: 31Jan2024.pdf](#)
 - ii. [FCA Policy Statement in relation to shares & equity-like instruments; ps23-4.pdf](#)
 - iii. [PDF](#) [New ESMA Webpage; MiFIR Reporting & Reference Data; 09 January 2023.pdf](#)
 - iv. [PDF](#) [ESMA65-8-1776_FIRDS_Transparency_Reporting_Instructions.pdf](#)
- d. [PDF](#) [FINRA Proposes to Reduce the 15-Min TRACE Reporting Timeframe to One Minute – JDSUPRA; 19Jan2024.pdf](#) & [PDF](#) [sr-finra-2024-004.pdf](#)
- e. Qomply
- i. [PDF](#) [MiFID II Guide on Reconciliation of Transaction Reports; Qomply; 05Feb2024.pdf](#)
 - ii. [PDF](#) [Notes from webinar; Qomply; MiFID Reconciliation & Remediation 1; Best Practices and Implementation; 24January2024.pdf](#)
- f. Kaizen
- i. [PDF](#) [Kaizen's regulatory reporting webinar; 25Jan2024.pdf](#)
- g. [PDF](#) [ESMA has updated the following Questions and Answers; 02Feb2024.pdf](#) on RTS2 Identifiers tables
- h. **Transaction Reporting Questions Arising:**
- i. On reporting flag changes in the UK; if we stop using SIZE and ILQD, do we still apply the other 3 waivers? <- two of the three... but timing different to the PS
 1. [PDF](#) [EVIA; Question on changes to reporting flags in the UK; if we stop using SIZE and ILQD, do we still apply the other 3 waivers; 01Feb2024.pdf](#)
 - ii. On whether MPT reporting protocols in the EU, to AMF or CNMV would follow the FCA guidance (our Guidance) for 2 reports where the prices are different?
 1. *Now we have the ball rolling on this item, the use of INTC and MTCH for these trades at different prices; What is the post-trade reporting expectations for this activity?*
 2. *What is the expectation for the venue to do to post-trade where there is different prices for the same notional volume due to commission?*
 - iii. Missing line item #5?
 1. [Word](#) [Total Volume References in FIRDS Files; XML and Xpaths Instructions; ESMA Doc 65-8-1776 from 17 October 2023.docx](#)
 2. [PDF](#) [ESMA65-8-1776_FIRDS_Transparency_Reporting_Instructions.pdf](#)
 - iv. On Reporting Errors and Omissions
 1. Trigger, frequency, promptness and content
 - v. On [DRR applying to RTS1 & also to RTS2](#)
 - vi. Still incoming questions from dealers on RTN supply
 - vii. [PDF](#) [On Transaction Reporting Obligations for NGU; 31July2023.pdf](#)
 - viii. Use of NORE in Field 59 - Execution within firm
- i. **T+1 Taskforce:**
1. T+1 Timeframes and [Gensler urging for EU changes](#)
 2. [PDF](#) [January update on T+1 & the cross-jurisdictional shortening the settlement cycle; 10Jan2024.pdf](#)
- j. **Exchange Blocks**
- i. Member comments

- ii. Sourcing ISINs?; [PDF](#) [EMIR Refit Confirmation data; Note of Joint LEBA Trayport EFET_Ops 6th call; 05Feb2024.pdf](#) & [Notes; small EFET sub-group to cover Clarifications on 2xMICs; ISIN; UPI - Use Cases.pdf](#)
- iii. Noting also - [Word](#) [LEBA Response to FCA; cp23-27; on reforming the commodity derivatives regulatory framework; Closes 16Feb2024.docx](#)
- k. **Energy and Commodities**
 - i. EMIR Data in Trade Confirms (SegMIC, ISIN and RTN again)
 1. [PDF](#) [EMIR Refit Confirmation data; Note of Joint LEBA Trayport EFET_Ops 6th call; 05Feb2024.pdf](#)
 2. [Notes; small EFET sub-group to cover Clarifications on 2xMICs; ISIN; UPI - Use Cases.pdf](#)
 3. [Note of LEBA-EFET Fourth Call on EMIR3 Data in Trade Confirms; 08Jan2024.pdf](#)
 4. [Trayport_Brokers_RequirementsClarifications_Notes_V7.pdf](#)
 5. [UseCase_Matrix_V05.xlsx](#)
 - ii. [PDF](#) [LEBA Note; CP23_7; advocacy; market activity reports; trade confirmations; Remit2; 30Jan2024 .pdf](#)
 - iii. DG COMP Interview regarding the Nasdaq / EEX Merger
 - iv. Frontier note on price formation in gas and power markets (working draft); [NOT-Frontier-Price_formation_energy_markets-04-02-2024-DRAFT-stc.docx](#)

4. Prudential



- a. [BoE, PRA and FCA Report on 2023 annual CBEST thematic review](#)
- b. NAL Expiry in Oct 2024 for IDBs holding CFTC Swap Dealer permissions for Agency Model onto SEF
 - i. [PDF](#) [CFTC Letter No. 21-18; Interpretative NAR; 31 August 2021.pdf](#)
 - ii. [PDF](#) [CFTC Proposes Revisions to Capital and Financial Reporting Rules for Swap Dealers; 22Jan2024.pdf](#)
 - iii. [PDF](#) [CFTC Seeks Comment on Approval of Substituted Compliance for UK-Regulated Swap Dealers; 25Jan2024.pdf](#)
 - iv. [PDF](#) [CFTC Seeks Public Comment on Proposed Capital Comparability Determination for Swap Dealers Subject to Supervision by the UK PRA; 25Jan2024.pdf](#)
 - v. [PDF](#) [CFTC NAL; 22-10; To ISDA etc; Foreign Non-Bank SDs; 17Aug2022.pdf](#)
 - vi. [PDF](#) [CFTC LETTER NO. 23-11 NO-ACTION JULY 10, 2023.pdf](#)
 - vii. [73231KyleBrandon.pdf](#)
 - viii. [IIB-ISDA-SIFMA Capital Rule UK Sub Comp Application Letter \(2\).pdf](#)
 - ix. [SIFMA Responses to CFTC Staff Follow Up Questions on UK Capital Sub Comp Application Oct 5, 2023 \(3\).pdf](#)

5. Other





















- a. SEC Rule on Mandatory Clearing of Government Securities; [PDF](#) [Federal Register Publishes SEC Rule on Mandatory Clearing of Government Securities; 22Jan2024.pdf](#) & [PDF](#) [On Gensler at the SEC as UST Clearing Rule becomes law; 25Jan2024.pdf](#)
- b. [PDF](#) [CFTC reporting UPI rewrite UPI Expansion accompanied by 30 new, US-specific data fields; 04Feb2024.pdf](#)
- c. [PDF](#) [SEC Plans to Issue 11 Proposals in 2024; 04Feb2024.pdf](#)
- d. [PDF](#) [PWC Take; CFTC on AI; 26Jan2024.pdf](#)

Annexes, Links and Details

6. Sanctions

- a.  [EBA consults on guidelines on internal policies, procedures and controls to ensure sanctions implementation; 14jan2024.pdf](#)
- b. [EU February Consolidated Sanctions List:](#)
- c.  [EU Commission updates list of high-risk third countries to remove Cayman Islands and Jordan; 14Jan2024.pdf](#)

7. Latest FCA & BOE Policy Development updates

- a.  [European, UK & Swiss Regulatory & Political News; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b.  [European, UK & Swiss Regulatory & Political News; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c.  [European, UK & Swiss Regulatory & Political News; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- d.  [European, UK & Swiss Regulatory & Political News; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e.  [BoE publishes speech on the Real Time Gross Settlement service; 28Jan2024.pdf](#)
- f.  [CP 23_32; FCA consults on market transparency changes; 01Jan2024.pdf](#) &  [CP23_15; FCA confirms final rules for a bond consolidated tape; 01Jan2024.pdf](#)
- g.  [Discussion with Chris Simon & Martin Lane, FCA Wholesale sectoral team on forthcoming work on Wholesale Markets Conduct; 17Jan2024.pdf](#)
- h.  [FCA & WEF; Quantum_Security_for_the_Financial_Sector_2024; 28Jan2024.pdf](#) &  [World Economic Forum and FCA joint white paper on quantum security for the financial sector; 28Jan2024.pdf](#)
- i.  [FCA Handbook Notice No. 115; 28Jan2024.pdf](#) &  [FCA Regulation round-up - January 2024.pdf](#)
- j.  [FCA handbook-notice-115.pdf](#)
- k.  [FCA Roundtable Notes 2; CP23_3; Improving transparency for bond and derivatives markets.pdf](#)
- l.  [FCA Speech; The UK listing regime - developments since the UK Listings Review and next steps for reform; Clare Cole; 05Feb2024.pdf](#)
- m.  [FCA; Updated Regulatory Initiatives Grid; 30November2023.xlsx](#)
- n.  [Note of Call with FCA on CTP Revenue Sharing; 15 January 2023.pdf](#)
- o. UK Policy reminder:  [Short selling reporting threshold will change on 5 February](#)
- p. UK EMIR Refit WG;  [02.02.2024 DRAFT Margin & Collateral and Position Level Reporting Q&A.pdf](#) &  [02.02.24 DRAFT Actions and Events 2 Q&A.pdf](#)

8. UK Government

- a. [PDF UK Policy; Short selling reporting threshold will change on 05th February 2024.pdf](#)
- b. [PDF UK REUL and FSMA 2023 Revocations over New Year; 14Jan2024.pdf](#)
- c. [PDF The future financial services regulatory regime for cryptoassets in the UK; 20Jan2024.pdf](#)

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

- a. [PDF EVIA Prudential Roundup; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF EVIA Prudential Roundup; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF EVIA Prudential Roundup; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- d. [PDF EVIA Prudential Roundup; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e. [PDF BIS; Streamlining VM processes and IM responsiveness of margin models in non-centrally cleared markets; 17 January 2024.pdf](#)
- f. [PDF BCBS, CPMI, IOSCO consult on transparency and responsiveness of IM in centrally cleared markets; 20Jan2024.pdf](#) & [PDF BCBS-IOSCO report sets out recommendations for good margin practices in non-centrally cleared markets; 22Jan2024.pdf](#)
- g. [PDF DORA; ESAs consult on second set of technical standards and guidance; 19Jan2023.pdf](#)
- h. [PDF Investment bank ROE collapse cannot be fixed by cyclical recovery alone; Rupak Ghose; 17Jan2024.pdf](#)
- i. [PDF NRF Slides; The countdown-to-Dora; 17Jan2024.pdf](#) & [PDF countdown-to-dora-webinar-17-01-2024-final \(1\).pdf](#)
- j. [PDF On the Basel III Endgame at the start of 2024 and ISDA Response to US proposals; 22Jan2024.pdf](#)

10. EU Rules and ESAs

- a. [PDF European, UK & Swiss Regulatory & Political News; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF European, UK & Swiss Regulatory & Political News; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
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- g. [PDF CEPS-InDepthAnalysis-2024-03_Empowering-the-Single-Market.pdf](#)
- h. [PDF Council of the EU & European Parliament strike deal on stricter AML rules; 20Jan2024.pdf](#)
- i. [PDF DORA; ESAs consult on second set of technical standards and guidance; 19Jan2023.pdf](#)

- j. [EC Adopted MiFID3; 02Feb2024; PE-62-2023-INIT_en.pdf](#) & [EC Adopted MiFIR2; 02Feb2024; PE-63-2023-INIT.pdf](#)
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- o. [ESMA75-453128700-52_MiCA_Consultation_Paper_-_Guidelines_on_the_qualification_of_crypto-assets_as_financial_instruments.pdf](#) & [ESMA35-1872330276-1619_Consultation_Paper_on_the_draft_guidelines_on_reverse_solicitation_under_MiCA.pdf](#)
- p. [ESMA-CfE-on-Shortening-the-Standard-Settlement-Cycle-ICMA-response-15-Dec-2023-151223.pdf](#) & [January update on T+1 & the cross-jurisdictional shortening the settlement cycle; 10Jan2024.pdf](#)
- q. [EU overview-table-equivalence-decisions_en \(Nov2023\).pdf](#)
- r. [EU Council & Parliament reach provisional agreement on AMLD6 and AMLR1; 24Jan2024.pdf](#)
- s. [European Parliament voted on the latest amendments to MiFID3 & MiFIR2 in its plenary session on 15th January 2024.pdf](#) & [MiFIR Plenary Text; 15Jan2024; P9_TA\(2024\)0004_EN.pdf](#) & [ECON-OJ-2024-01-11-1_en.pdf](#) & [P9_AMA\(2023\)0039\(001-001\)_EN.pdf](#)
- t. [JC_2024_02_Joint_ESAs_Report_on_2023_stocktaking_of_BigTech_direct_financial_services_provision.pdf](#)
- u. [EU EMIR3 trilogue negotiations considering expansion to the scope of OTC Derivatives rules; 05Feb2024.pdf](#)
- v. [Make Mario Draghi European Council chief, Renzi says; Michel dodges European Parliament grilling due to back pain; 20Jan2024.pdf](#)
- w. [MiFID3 Plenary Text; 15Jan2024; P9_TA\(2024\)0003_EN.pdf](#) & [AFME welcomes European Parliament vote on MiFID_R but calls for more; 16Jan2024.pdf](#)
- x. [Notes; DG FISMA Workshop on OTC derivatives identifier; Tuesday 16th January 2024.pdf](#) & [ESMA12-766636679-105_Response_to_EC_consultation_OTC_derivative_identifier.pdf](#)
- y. [Rebuilding the competitiveness of Europe's financial sector; OMFIF; 13Jan2024.pdf](#)
- z. [The EU financial services legislative pipeline; 17January2024.pdf](#)
- aa. [The new European Sustainability Reporting Standards entered into force; December-2023.pdf](#)
- bb. [Update on CSDR Refit; 03Feb2024.pdf](#)
- cc. [ESMA24-229244789-4620_Overview_of_planned_consultation_papers_2024.pdf](#)

11. Conduct/ Enforcement/ PFOF

- a. [Conduct, Sanctions and Enforcement News; Week 02; 08th January 2024 to 13th January 2024.pdf](#)

- b. [PDF](#) [Conduct, Sanctions and Enforcement News; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF](#) [Conduct, Sanctions and Enforcement News; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
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- p. [PDF](#) [January Conduct Rules Roundup; 20Jan2024.pdf](#)
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- u. [PDF](#) [Notes from webinar; Qomply; MiFID Reconciliation & Remediation 1; Best Practices and Implementation; 24January2024.pdf](#)
- v. [PDF](#) [Notes; DTCC North America working group; 17 January 2024.pdf](#)
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- x. [PDF](#) [The top five 2023 markets conduct regulatory blog topics; 18Jan2024.pdf](#)
- y. [PDF](#) [UK Policy; Short selling reporting threshold will change on 05th February 2024.pdf](#)
- z. [PDF](#) [NoA Re-Write Phase 2 - Go Live Statistics Jan 27 28.pdf](#) & [PDF](#) [CFTC reporting UPI rewrite UPI Expansion accompanied by 30 new, US-specific data fields; 04Feb2024.pdf](#) & [PDF](#) [North America Re-Write Phase 2 Go-Live Industry Statistics Feb 1 \(1\).pdf](#) & [PDF](#) [North America Re-Write Phase 2 Go-Live Industry Statistics Jan 31.pdf](#)
- aa. [PDF](#) [SEC Enforcements continue despite lack of regulatory updates; 04Feb2024.pdf](#)

12. Cybercrime/ AML/ KYC/ Reg Tech

- a. [JMLSG](#) – No updates since October

Microsoft Teams meeting; [Click here to join the meeting](#)
Meeting ID: 322 354 319 690; Passcode: enQfaH
Or call in (audio only); +44 20 4526 6312,457529657# United Kingdom, London
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- b. [PDF EU Council & Parliament reach provisional agreement on AMLD6 and AMLR1; 24Jan2024.pdf](#)
- i. [PDF Council of the EU & European Parliament strike deal on stricter AML rules; 20Jan2024.pdf](#)
- c. [PDF EU deletion of the Cayman Islands and Jordan from the list of high-risk third countries; 24Jan2024.pdf](#)
- d. [PDF On ESMA's decision to withdraw the recognition of Dubai Commodities Clearing Corporation; 06Feb2024.pdf](#) <- FATCA Decision
- e. [PDF FCA & WEF; Quantum Security for the Financial Sector 2024; 28Jan2024.pdf](#)
- f. [PDF Understanding FINRA Rule 3310; FINRA continues push for transparency with annual independent AML review; 04Feb2024.pdf](#)
- g. UK; Money Laundering and Terrorist Financing (Amendment) Regulations 2023 made; *The Money Laundering and Terrorist Financing (Amendment) Regulations 2023 (SI 2023/1371) have been made and laid before Parliament.*
- h. [BoE, PRA and FCA Report on 2023 annual CBEST thematic review](#)
- i. This report will be useful for SMF 24s, Chief Information Security Officers, Chief Information Officers, Chief Operation Officers, Chief Risk Officers and cyber specialists, according to the regulators. Cast your minds back to February 2023, and you may remember that [we flagged the FCA's and PRA's letter sharing the regulators key findings from their 2022 CBEST assessments](#) (this is testing which focusses on a firm's security controls and capabilities when faced with a simulated cyber-attack). Last year we only saw a very high-level summary. [This year, we have been treated to the full 2023 CBEST thematic report, which includes the regulators' findings and lessons learned from 2023.](#)
- ii. There were six thematic findings relating to: identity and access management, staff awareness and training, security configuration, network security, incident response and security monitoring and data security. Under each of these key findings are examples of good practice identified, as well as additional recommendations and guidance from the National Cyber Security Centre.
- iii. The regulators indicate that they may use the themes identified to structure future supervisory interaction. The report suggests that firms may find it beneficial to consider and embed these findings into their own cyber strategy and / or framework.
- iv. The relevant SMFs formally consider this report and whether any follow-up actions are needed.

13. ESG Topics, D&I & Disclosures

- a. [PDF Too much asked of special drawing rights in tackling climate change; OMFIF; 28Jan2024.pdf](#)
- b. [PDF SFDR in the EU; the evolving framework at the start of 2024; 11Jan2024.pdf](#)
- c. [PDF The new European Sustainability Reporting Standards entered into force; December-2023.pdf](#)

14. Energy & ACER

- a. [PDF Energy and Commodities Roundup; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF Energy and Commodities Roundup; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF Energy and Commodities Roundup; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)

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- d. [PDF](#) [Energy and Commodities Roundup; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e. [PDF](#) [BATE; Swiss REMIT Final Text; English Translation; Dec 2023.pdf](#)
- f. [PDF](#) [Carbon Conscious; The case for standardisation of documents in voluntary carbon markets; 13Jan2024.pdf](#)
- g. [PDF](#) [Carbon markets have a long shot at redemption; Carbon influencers; EU Set to Seek Ambitious Goal of 90% Emissions Cut by 2040; 20Jan2024.pdf](#)
- h. [PDF](#) [ICE Endex; Circular E24_002; Prolongation of MCM Regulation; 22Jan2024.pdf](#)
- i. [PDF](#) [IEA latest Quarterly Gas Report; 5 key takeaways; 26Jan2024.pdf](#)
- j. [PDF](#) [LEBA Monthly Volumes & Trayport Commodities Report; December & Q4 2023; 26January2024.pdf](#) & [Excel](#) [LEBA_Energy_Volume_Report_December_2023.xlsx](#) & [PDF](#) [LEBA_Energy_Volume_Report_December_2023.pdf](#) & [PDF](#) [LEBA_Energy_Analysis_December_2023.pdf](#)
- k. [PDF](#) [LEBA Note; CP23_7; advocacy; market activity reports; trade confirmations; Remit2; 30Jan2024.pdf](#)
- l. [Word](#) [LEBA Response to FCA; cp23-27; on reforming the commodity derivatives regulatory framework; Closes 16Feb2024.docx](#)
- m. [PDF](#) [The slow road to recovery; ICIS; 2024 outlook for European gas, power, and carbon markets; 30Jan2024.pdf](#)
- n. [PDF](#) [Trayport Commodities Report - Q4 2023.pdf](#)
- o. [PDF](#) [Trayport_Brokers_RequirementsClarifications_Notes_V5.pdf](#)
- p. [Notes](#); small EFET sub-group to cover Clarifications on 2xMICs; ISIN; UPI - Use Cases.pdf
- q. [PDF](#) [ICIS LNG Edge; Q42023 Trade Flow Report; Europe survives another winter; 06Feb2024.pdf](#)

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

- a. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- d. [PDF](#) [Market Regs, Post Trading and Benchmarks News & Events; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e. [PDF](#) [Allen & Overy Presentation; Regulation Gets Smart; 24Jan2024.pdf](#)
- f. [PDF](#) [BCBS, CPMI, IOSCO consult on transparency and responsiveness of IM in centrally cleared markets; 20jan2024.pdf](#) & [PDF](#) [BCBS-IOSCO report sets out recommendations for good margin practices in non-centrally cleared markets; 22Jan2024.pdf](#)
- g. [PDF](#) [BIS; Streamlining VM processes and IM responsiveness of margin models in non-centrally cleared markets; 17 January 2024.pdf](#)
- h. [PDF](#) [CFTC approves BGC's FMX to operate an interest rate futures exchange; 23Jan2024.pdf](#)
- i. [PDF](#) [CFTC Proposes Revisions to Capital and Financial Reporting Rules for Swap Dealers; 22Jan2024.pdf](#) & [PDF](#) [CFTC Seeks Comment on Approval of Substituted Compliance for UK-Regulated Swap Dealers; 25Jan2024.pdf](#) & [PDF](#) [CFTC Seeks Public Comment on Proposed Capital](#)

- [Comparability Determination for Swap Dealers Subject to Supervision by the UK PRA; 25Jan2024.pdf](#)
- j. [CFTC reporting UPI rewrite UPI Expansion accompanied by 30 new, US-specific data fields; 04Feb2024.pdf](#)
- k. [ClarusFT; 2023 CCP Volumes and Share in CRD and FXD; Amir Khwaja; 17 January 2024.pdf](#)
- l. [ClarusFT; 2023 CCP Volumes and Share in IRD; Amir Khwaja; 13 January 2024.pdf](#)
- m. [ClarusFT; Can the UK get transparency right; Chris Barnes; 13 January 2024.pdf](#)
- n. [ClarusFT; Cross Currency Swaps Review 2023; Chris Barnes; 17 January 2024.pdf](#)
- o. [ClarusFT; Repo; The heart of the global financial system; Amir Khwaja; 24Jan2024.pdf](#)
- p. [ClarusFT; RFR Adoption Review 2023; Chris Barnes; 25 January 2024.pdf](#)
- q. [ClarusFT; USD Rates Overview in 2024; Chris Barnes; 01Feb2024.pdf](#)
- r. [CP 23_32; FCA consults on market transparency changes; 01Jan2024.pdf](#) & [CP23_15; FCA confirms final rules for a bond consolidated tape; 01Jan2024.pdf](#)
- s. [December 2023 SEF Tracker; 25Jan2024.pdf](#)
- t. [EC Adopted MiFID3; 02Feb2024; PE-62-2023-INIT_en.pdf](#) & [EC Adopted MiFIR2; 02Feb2024; PE-63-2023-INIT.pdf](#)
- u. [ESMA consults on reverse solicitation and classification of crypto assets as financial instruments under MiCA; 29Jan2024.pdf](#)
- v. [ESMA publishes data for quarterly bond liquidity assessment, the systematic internaliser calculations and the CTP calculations; 01Feb2024.pdf](#)
- w. [ESMA-CfE-on-Shortening-the-Standard-Settlement-Cycle-ICMA-response-15-Dec-2023-151223.pdf](#) & [January update on T+1 & the cross-jurisdictional shortening the settlement cycle; 10Jan2024.pdf](#)
- x. [European Parliament voted on the latest amendments to MiFID3 & MiFIR2 in its plenary session on 15th January 2024.pdf](#) & [MiFIR Plenary Text; 15Jan2024; P9_TA\(2024\)0004_EN.pdf](#)
- y. [EVIA Note; Q1-2024 JTAG Call on EU and UK Wholesale Market Policy, MiFIR, UK Rules, CMU etc; 22January2024.pdf](#)
- z. [FCA Roundtable Notes 2; CP23_3; Improving transparency for bond and derivatives markets.pdf](#)
- aa. [Federal Register Publishes SEC Rule on Mandatory Clearing of Government Securities; 22Jan2024.pdf](#)
- bb. [FIX Org; CTP WG; RP MiFIR Transparency vol 2 v0.1.pdf](#)
- cc. [FIX Org; Equity Consolidated Tape WG; Minutes of Meeting 11th January 2024.pdf](#) & [Copy of UseCase_Matrix_V05.xlsx](#) & [flag_scenarios_20231220.xlsx](#)
- dd. [FX Platform Volume reporting for January 2024; 04Feb2024.pdf](#)
- ee. [ICMA-ERCC-Briefing-note-The-European-repo-market-at-2023-year-end-January-2024-290124.pdf](#)
- ff. [ICMA-Quarterly-Report-Q1-2024.pdf](#)
- gg. [ICMA-Repo-Survey-December-2023.pdf](#)
- hh. [IOSCO consults on market outages; 20Dec2023; closes 15Mar2024.pdf](#)
- ii. [IOSCO seeks feedback on Post Trade Risk Reduction Services; 26Jan2024 .pdf](#) & [IOSCO consultation report on Post Trade Risk Reduction Services; IOSCOPD760; 26Jan2024.pdf](#)
- jj. [January update on the EU CSDR review; mandatory buy-in regime; 10Jan2024.pdf](#)

- kk. [Kaizen's regulatory reporting webinar; 25Jan2024.pdf](#)
- ll. [MiFID3 Plenary Text; 15Jan2024; P9_TA\(2024\)0003_EN.pdf](#) & [AFME welcomes European Parliament vote on MiFID_R but calls for more; 16Jan2024.pdf](#)
- mm. [Note of Call with FCA on CTP Revenue Sharing; 15 January 2023.pdf](#)
- nn. [Note; FCA Market Watch 76; Observations about 'flying' and 'printing'; 31January2024.pdf](#)
- oo. [Note; IOSCO consultation report on post trade reduction services \(PTRRS\); 29Jan2024.pdf](#)
- pp. [Notes; DG FISMA Workshop on OTC derivatives identifier; Tuesday 16th January 2024.pdf](#) & [ESMA12-766636679-105_Response_to_EC_consultation_OTC_derivative_identifier.pdf](#) & [Agenda derivatives workshop - 15-01.pdf](#)
- qq. [Notes; DTCC North America working group; 10 January 2024.pdf](#)
- rr. [Notes; DTCC North America working group; 24 January 2024.pdf](#) – successful switch over to UPI this weekend
- ss. [Noting on upcoming April UK changes to transparency Flags from FCA PS 21_4; 31Jan2024.pdf](#) & [EVIA; Note of transaction reporting WG call; Complex ID Linkages; 30Jan2024.pdf](#)
- tt. [Overview-of-OTC-Equity-Derivatives-Markets-Use-Cases-and-Recent-Developments.pdf](#)
- uu. [Recommended Practices - MiFIR Transparency vol 1 v3.0.docx](#)
- vv. [Sell Side Horizon Scanner Q1 2024; 24Jan2024.pdf](#) & [ESMA24-229244789-4620_Overview_of_planned_consultation_papers_2024.pdf](#)
- ww. [Trayport Commodities Report - Q4 2023.pdf](#)
- xx. [Update on CSDR Refit; 03Feb2024.pdf](#)
- yy. [An Inside Look at the Treasury Market; SIFMA 2023 UST Trading Report; Jan 2024 .pdf](#)
- zz. [ISDA Launches Digital Version of 2002 ISDA Equity Derivatives Definitions; 20Jan2024.pdf](#)

16. Benchmarks and LiBOR Topics

- a. [Market Regs, Post Trading and Benchmarks News & Events; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [Market Regs, Post Trading and Benchmarks News & Events; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [Market Regs, Post Trading and Benchmarks News & Events; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- d. [Market Regs, Post Trading and Benchmarks News & Events; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e. [ClarusFT; RFR Adoption Review 2023; Chris Barnes; 25 January 2024.pdf](#)
- f. [Joint-Response-to-EC-on-BMR; 24Jan2024.pdf](#)
- g. [ISDA-Clarus-RFR-Adoption-Indicator-Quarterly-Summary; 29Jan2024.pdf](#)
- h. [On the cessation of synthetic sterling LIBOR; 10Jan2024.pdf](#)
- i. [PLN RFR Compounded index suspended over data errors as Wibor extension reopens successor debate; 15Jan2024.pdf](#)
- j. [Dieter Helm; Real interest rates are probably higher for ever, relative to the period 1990–20; 13Jan2024.pdf](#)

17. FX and Money Markets

- a. [PDF Rates, FX, Credit and Equities Markets; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF Rates, FX, Credit and Equities Markets; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF Rates, FX, Credit and Equities Markets; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- d. [PDF Rates, FX, Credit and Equities Markets; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e. [PDF BoE publishes speech on the Real Time Gross Settlement service; 28Jan2024.pdf](#)
- f. [PDF BOE; On auction design; the case of the Bank's Indexed Long-Term Repo Facility; 10Jan2024.pdf](#)
- g. [PDF CBDC success depends on public and private sector collaboration; OMFIF; 03Feb2024.pdf](#)
- h. [PDF ClarusFT; Repo; The heart of the global financial system; Amir Khwaja; 24Jan2024.pdf](#)
- i. [PDF FX Platform Volume reporting for January 2024; 04Feb2024.pdf](#)
- j. [PDF FX Platforms Report Strong December inc a record month for 360T; 24Jan2024.pdf](#) & [PDF CLS-FX-Trade_Volume-Report_Dec2023.pdf](#)
- k. [PDF FX Platforms Report Strong December; 11Jan2024.pdf](#)
- l. [PDF ICMA-ERCC-Briefing-note-The-European-repo-market-at-2023-year-end-January-2024-290124.pdf](#)
- m. [PDF ICMA-Repo-Survey-December-2023.pdf](#) & [PDF Pictorial view of the ICMA repo survey 14 June 2023.pdf](#)
- n. [PDF Too much asked of special drawing rights in tackling climate change; OMFIF; 28Jan2024.pdf](#)
- o. [PDF Towards Increasing Complexity, the Evolution of the FX Market; FRBNY Research; 11Jan2024.pdf](#)

18. Digitalisation of Regulatory Reporting and Cryptoassets

- a. [PDF FinTech, SupTech & RegTech News; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF FinTech, SupTech & RegTech News; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF FinTech, SupTech & RegTech News; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- d. [PDF FinTech, SupTech & RegTech News; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- e. [PDF Ahead of the Curve. Crypto for Christmas UK cryptoasset regulatory framework.pdf](#)
- f. [PDF CBDC success depends on public and private sector collaboration; OMFIF; 03Feb2024.pdf](#)
- g. [PDF CFTC Advisory Group Proposes Regulatory Approach to DeFi and AI; 22Jan2024.pdf](#) & [PDF World Economic Forum and FCA joint white paper on quantum security for the financial sector; 28Jan2024.pdf](#)
- h. [PDF ESMA75-453128700-52_MiCA_Consultation_Paper_-_Guidelines_on_the_qualification_of_crypto-assets_as_financial_instruments.pdf](#)
- i. [PDF FCA & WEF; Quantum_Security_for_the_Financial_Sector_2024; 28Jan2024.pdf](#)
- j. [PDF JC_2024_02_Joint_ESAs_Report_on_2023_stocktaking_of_BigTech_direct_financial_services_provision.pdf](#)
- k. [PDF Money in the Metaverse; David Birch; 29Jan2024.pdf](#)

- l. [PDF](#) [Response to BoE & HMT Consultation Paper: The digital pound; A new form of money for households & businesses; 28Jan2024.pdf](#)
- m. [PDF](#) [SEC grudgingly approves bitcoin spot ETFs; OMFIF; 13Jan2024.pdf](#)
- n. [PDF](#) [The future financial services regulatory regime for cryptoassets in the UK; 20Jan2024.pdf](#)
- o. [PDF](#) [Your Top Ten From Last Year: Three Predictions For Next Year; 19Jan2024.pdf](#)

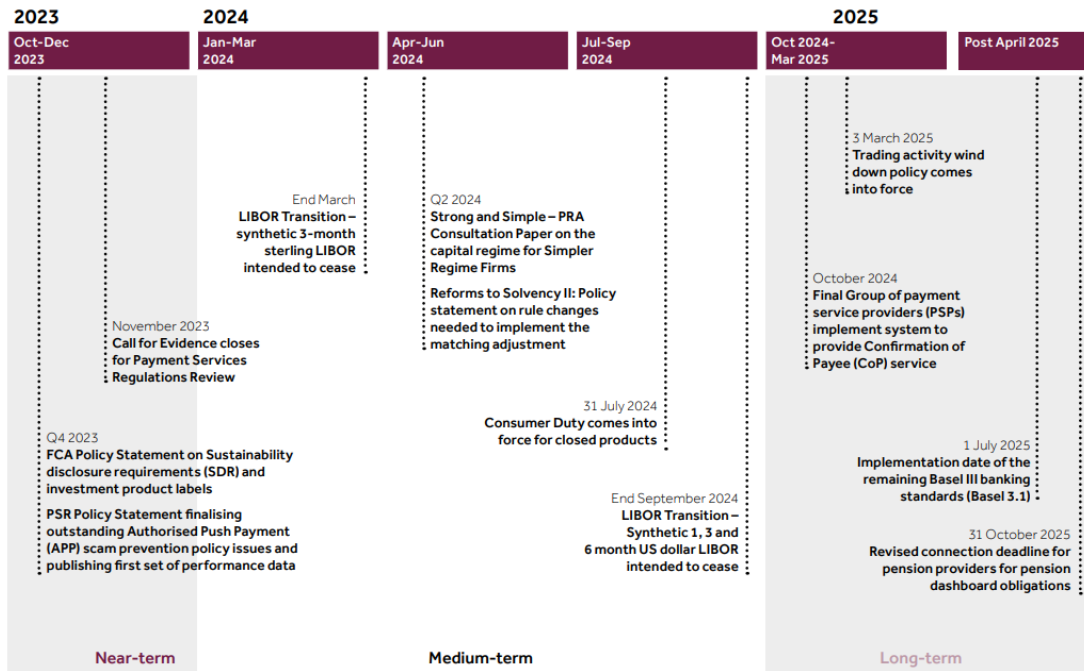
19. US & International

- a. [PDF](#) [US and Asia Regulatory News; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- b. [PDF](#) [US and Asia Regulatory News; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- c. [PDF](#) [US and Asia Regulatory News; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- d. [PDF](#) [US and Asia Regulatory News; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- e. [PDF](#) [CFTC Advisory Group Proposes Regulatory Approach to DeFi and AI; 22Jan2024.pdf](#)
- f. [PDF](#) [CFTC approves BGC's FMX to operate an interest rate futures exchange; 23Jan2024.pdf](#)
- g. [PDF](#) [CFTC reporting UPI rewrite UPI Expansion accompanied by 30 new, US-specific data fields; 04Feb2024.pdf](#)
 - i. [PDF](#) [North America Re-Write Phase 2 Go-Live Industry Statistics Feb 1 \(1\).pdf](#)
 - ii. [PDF](#) [North America Re-Write Phase 2 Go-Live Industry Statistics Jan 31.pdf](#)
 - iii. [PDF](#) [Notes; DTCC North America working group; 17 January 2024.pdf](#)
 - iv. [PDF](#) [Notes; DTCC North America working group; 10 January 2024.pdf](#)
 - v. [PDF](#) [Notes; DTCC North America working group; 24 January 2024.pdf](#)
 - vi. [NoA Re-Write Phase 2 - Go Live Statistics Jan 27 28.pdf](#)
 - vii. [PDF](#) [TechSpecs Parts4345 for NPRM CLEAN 12132023 for OPA.pdf](#)
- h. On "Covered nonbank SDs, or persons acting on their behalf" to submit an application to the MPD of the CFTC requesting a determination that all or part of the relevant foreign jurisdiction's capital and/or financial reporting requirements are comparable to the Commission's corresponding requirements and provides a basis for substituted compliance ("Capital Comparability Determination").
 - i. [PDF](#) [CFTC Letter No. 21-18; Interpretative NAR; 31 August 2021.pdf](#)
 - ii. [PDF](#) [CFTC Proposes Revisions to Capital and Financial Reporting Rules for Swap Dealers; 22Jan2024.pdf](#)
 - iii. [PDF](#) [CFTC Seeks Comment on Approval of Substituted Compliance for UK-Regulated Swap Dealers; 25Jan2024.pdf](#)
 - iv. [PDF](#) [CFTC Seeks Public Comment on Proposed Capital Comparability Determination for Swap Dealers Subject to Supervision by the UK PRA; 25Jan2024.pdf](#)
 - v. [PDF](#) [CFTC NAL; 22-10; To ISDA etc; Foreign Non-Bank SDs; 17Aug2022.pdf](#)
 - vi. [PDF](#) [CFTC LETTER NO. 23-11 NO-ACTION JULY 10, 2023.pdf](#)
- i. [PDF](#) [December 2023 SEF Tracker; 25Jan2024.pdf](#)
- j. [PDF](#) [EU deletion of the Cayman Islands and Jordan from the list of high-risk third countries; 24Jan2024.pdf](#)
- k. [PDF](#) [Federal Register Publishes SEC Rule on Mandatory Clearing of Government Securities; 22Jan2024.pdf](#)

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- l. [PDF](#) [FINRA Proposes to Reduce the 15-Min TRACE Reporting Timeframe to One Minute – JDSUPRA; 19Jan2024.pdf](#) & [PDF](#) [sr-finra-2024-004.pdf](#)
 - m. [PDF](#) [On Gensler at the SEC as UST Clearing Rule becomes law; 25Jan2024.pdf](#)
 - n. [PDF](#) [On the Basel III Endgame at the start of 2024 and ISDA Response to US proposals; 22Jan2024.pdf](#)
 - o. [PDF](#) [PWC Take; CFTC on AI; 26Jan2024.pdf](#)
 - p. [PDF](#) [Speech; Chair Gary Gensler Urges Europeans to Move to T+1 Settlement; ~Time is Money. Time is Risk~"; EC; 25Jan2024.pdf](#)
 - q. [PDF](#) [US election will test economic, political & institutional resilience; Investment case for US depends on the strength institutions; OMFIF; 03Feb2024.pdf](#)
 - r. [An Inside Look at the Treasury Market; SIFMA 2023 UST Trading Report; Jan 2024 .pdf](#)

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

- [PDF](#) [Open Consultations & Legislative Timetables; 23 January 2024.pdf](#)
- FCA [CP 23-27](#) on reforming the commodity derivatives regulatory framework; 04 December 2023 / Closes on 16 February 2024.
- FCA; [DP23/4: Regulating cryptoassets Phase 1: Stablecoins](#); by 06Feb2024
- FCA; [CP23/33: Consultation on payments to data providers and DRSP forms including Policy Statement for the framework for UK consolidated tape \(CP23/15\)](#); by 9 February 2024.
- FCA; [CP23/32: Improving transparency for bond and derivatives markets](#); by 6 March 2024.
- [IOSCO consults on market outages](#); by 15 March 2024.
- IOSCO; [CR06/2023 Voluntary Carbon Markets](#); by 03 March 2024
- ESMA; [Consultation on Technical Advice on CSDR Penalty Mechanism](#); by 29 February 2024.
- UK Regulatory Calendar



- [PDF The EU financial services legislative pipeline; 17 January 2024.pdf](#)
- ESMA published a [table](#) which provides an overview of its planned consultations for 2024.

Topic	ESMA; Title of consultation paper	Planned publication
Markets and Infrastructures	Guidelines on the due diligence requirements under the Securitisation Regulation	Q1 2024
MiCA	MiCA guidelines and technical standards	Q1 2024
MiFID	MiFID review - RTS on position management controls and ITS 4 on position reporting	Q1 2024
Sustainable Finance	RTS under EU Green Bond Regulation	Q1 2024
Supervision	Guidelines on internal controls for ESMA supervised entities (CRAs, Trade Repositories, Data Reporting Service Providers, Securitisation Repositories and Benchmark Administrators)	Q1 2024
MiCA	MiCA guidelines and technical standards	Q2 2024
MiFIR	MiFIR review - non-equity transparency (bonds)	Q2 2024
MiFIR	MiFIR review - RTS consolidated tape provider	Q2 2024
MiFIR	MiFIR review - RTS on cost of market data/reasonable commercial basis	Q2 2024
DORA	DORA RTS and ITS [Second batch] and Feasibility study	Q3 2024
EMIR	RTS on public data (EMIR)	Q3 2024
MiCA	MiCA guidelines and technical standards	Q3 2024
MiFIR	MiFIR review - equity transparency (RTS 1)	Q3 2024
MiFIR	MiFIR review - circuit breakers	Q3 2024

EMIR	[Placeholder for EMIR 3 consultations - EMIR 3 triologue starts mid-December, ESMA will complete the table once the text including the mandates and deadlines are stabilised/final.]	Q4 2024
MiFIR	MiFIR review - non-equity transparency (derivatives)	Q4 2024
MiFIR/ Supervision	Revision of RTS 13 on DRSP authorisation for the purpose of CTP authorisation	Q4 2024

20. Weekly Roundups for January 2024 and Prior Compliance Docs

- a. [PDF EVIA Weekly News; Week 05; 29th January 2024 to 03rd February 2024.pdf](#)
- b. [PDF EVIA Weekly News; Week 04; 22nd January 2024 to 27th January 2024.pdf](#)
- c. [PDF EVIA Weekly News; Week 03; 15th January 2024 to 20th January 2024.pdf](#)
- d. [PDF EVIA Weekly News; Week 02; 08th January 2024 to 13th January 2024.pdf](#)
- e. [PDF EVIA Weekly News; Week 01; 01st January 2024 to 06th January 2024.pdf](#)
- f. [PDF EVIA LEBA Monthly Compliance Meeting Agenda; 0830, Wednesday 10th January 2024.pdf](#)
- g. [PDF EVIA LEBA Monthly Compliance Meeting Agenda; 0830 Wednesday 06th December 2023.pdf](#)
- h. [PDF EVIA LEBA Monthly Compliance Meeting Agenda; 0830 Wednesday 01st November 2023.pdf](#)