

[EVIA & LEBA Monthly Compliance Meeting](#)



0830 Wednesday 10th April 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. MLROs - Money Laundering Through the Markets project
 - i. Ailie Groom; Ailie.Groom@fca.org.uk
 - ii. Greg Smith; greg.smith1@fca.org.uk
- c.  [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 10th April 2024.pdf](#)
- d.  [Open Consultations & Legislative Timetables; 06 April 2024.pdf](#) & [Updated OTC Derivatives Compliance Calendar – Updated for April 2024](#)
- e.  [FCA Market Watch 78; Instrument reference data; 09April2024.pdf](#)
- f.  [FCA Handbook Notice No 117; 03Apr2024.pdf](#)
- g.  [FCA Regulation round-up; March 2024.pdf](#)
- h.  [FCA regulated fees and levies; Rates Proposals for 2024_25; CP24-6; 09Apr2024.pdf](#)
 - i. Question 1: Do you have any comments on the proposed FCA periodic fee-rates for 2024/25?
 - ii. Question 2: Do you have any comments on the proposed FCA application fees for 2024/25?
 - iii. Question 3: Do you have any comments on the proposed method of calculating the CJ levy tariff rates for firms in each fee block?
 - iv. Question 4: Do you have any comments on our proposals for how the overall CJ levy should be apportioned?
 - v. Question 5: Do you have any comments on the proposed 2024/25 rates for the levies collected on behalf of government departments?

AFR allocations to fee-blocks	Proposed 2024/25 £m	Actual 2023/24 £m	Movement over 2023/24 £m	Movement over 2023/24 %

A.13 Advisors, arrangers, dealers, brokers	102.8	94.6	8.2	8.7
RIEs, ROIEs, MTFs, OTFs, recognised auction platforms, service companies, benchmark administrators, third-country legal representative, benchmark endorers	10.3	9.4	0.9	9.1

Our latest estimate of the financial penalty rebate for 2024/25 is £35.4m. This is 33% less than last year's total of £52.5m and will be less than our enforcement costs. Some fines have been issued but have not yet been paid. We will update the figure when we finalise the fee rates in July 2024. Table 2.5 shows the amounts that would be rebated to each fee-block based on our current estimate of retained financial penalty revenues.

A.13 Advisory arrangers, dealers or brokers (not holding or controlling client money or assets, or both)	3.0	2.9
RIEs, ROIEs, MTFs, OTFs, recognised auction platforms, service companies, benchmark administrators,	0.0	0.0

Firms based in the European Economic Area (EEA); Following the UK's departure from the European Union, the temporary permissions regime (TPR) made provision for firms based in the EEA to continue to operate in the UK. Those who were not granted a permission under Part 4A of FSMA before 31 December 2023 and who were carrying on regulated activity in the UK have instead a temporary permission limited to activities necessary for the performance of pre-existing contracts. The fees for those firms are set out in FEES 4A in Appendix 1. For details of the fees arrangements for TPR firms, see paragraphs 3.19 – 3.29 of CP22/07.

Table 5.1: Allocation of CJ levy across industry-blocks for 2024/25

Industry Block	Description	Tariff Base	Consultation 2024/25 tariff rate (£)	Final 2023/24 tariff rate (£)	Consultation 2024/25 minimum levy per firm (£)	Final 2023/24 minimum levy per firm (£)	Consultation 2024/25 gross total	Final 2023/24 gross total	Consultation 2024/25 con-tribution by block	Final 2023/24 contribution by block
1009	Advisory only firms and advisory, arrangers, dealers, or brokers (not holding client money)	Per £1,000 of annual income	0.255	0.265	45	45	£914,667	£1,674,748	1.3%	1.6%

Money guidance in the UK – levy rates in FEES 7A Annex 1

Fee-block	Actual 2023/2024 allocation £m	Proposed 2024/2025 allocation £m	Movement
A.10 Firms dealing as principal	1.01	1.09	8.4%
A.13 Advisors, arrangers, dealers or brokers	1.77	1.88	6.4%

i. [UK Listing Rules instrument 2024 \[PDF\]](#)

j. [Note; FCA publishes Business Plan 2024_25; 22Mar2024.pdf](#)

k. [FCA; TACC minutes 24q1.pdf](#)

- I. Market Size;
 - i. [PDF](#) [Note: ICMA SMPC 4th report that provides detailed data on EU and UK bond market trading activity; 01Apr2024.pdf](#)
 - ii. [PDF](#) [March 2024 FX Platform Volumes Report; CME FX Volume Holds Steady, EBS Rebounds from Lows, others all strong; 05April2024.pdf](#) & [PDF](#) [February 2024 FX Platform Volumes Report; Non-Spot Drifting Lower; CLS Up 1.8% compared to February 2023; 25Feb2024.pdf](#)

Standing Items

1. Conduct

- a. [PDF](#) [FCA Call for Evidence on Non-Financial Misconduct](#)
 - i. Questions or comments on completing the survey
- b. [PDF](#) [Notes from Simmonds2 Webinar interview with Therese Chambers on CP 24-2; 25March2024.pdf](#) & [PDF](#) [Key takeaways: FCA's new approach to publishing enforcement investigations; 02Apr2024.pdf](#)
 - i. [PDF](#) [FCA CP24_2; Our Enforcement Guide & publicising enforcement investigations – a new approach; 27Feb2024.pdf](#) & [PDF](#) [FCA to improve pace and transparency around enforcement cases; 27 February 2024.pdf](#)
 - ii. Substantial member concerns and interest; closes 16th April [noting after Easter]
 - iii. In the future the FCA will focus on a streamlined portfolio of cases, aligned to its strategic priorities where it can deliver the greatest impact. The FCA will also close those cases where no outcome is achievable, more quickly.
 - iv. As part of the new approach the FCA has begun a consultation on plans to be more transparent when an enforcement investigation is opened. Under the plans the FCA will publish updates on investigations as appropriate and be open about when cases have been closed with no enforcement outcome
 - v. [FCA to name firms, individuals under investigation](#); The UK FCA will begin to name firms and individuals under investigation as it increases its enforcement power. "We will amplify the deterrent impact of our work by enabling firms to understand the types of serious failings that can lead to an investigation, helping them to change their own behaviour more quickly," Therese Chambers, joint executive director of enforcement and market oversight at the FCA, said. "Greater transparency will also drive greater accountability for us as an enforcement agency."
- c. FCA Approach to AML & Thematic Review
- d. [PDF](#) [Note: UK individual accountability in financial services; Themes, trends & challenges; 21Mar2024.pdf](#) & [PDF](#) [UK individual accountability in financial services; A&O Deck; 21 March 2024.pdf](#)
- e. Application to firms' of DORA and Op Resilience requirements
- f. [PDF](#) [Principles for Auditing a Financial Crime Risk Management Programme for Effectiveness under the Wolfsberg Group Factors; 26Mar2024.pdf](#)
- g. [PDF](#) [The Wolfsberg Group on Countering Terrorist Financing; 12Mar2024.pdf](#) & [PDF](#) [Wolfsberg Group statement on countering terrorist financing; 23Mar2024.pdf](#)

- h. [PDF](#) [Wolfsberg Group publication of updated Country Risk Frequently Asked Questions; 07Mar2024.pdf](#)
- i. Not applicable anywhere? -> [PDF](#) [Ongoing advice charges; Meeting the FCA's expectations under the Consumer Duty; 09April2024.pdf](#)

2. Rule Books

- a. [PDF](#) [AnnaDSB Blog and Webinar; UPI Reporting in the EU commences on 29 April 2024; 09Apr2024.pdf](#)
- b. [PDF](#) [FCA Market Watch 78; Instrument reference data; 09April2024.pdf](#)
- c. EC FISMA Comments on UPI Transition
- d. FCA Decisions on CTP fees and costs: [PDF](#) [FCA Handbook Notice No 117; 03Apr2024.pdf](#)
- e. [PDF](#) [Readout from the ESMA Webinar of a CTP Framework; 14Mar2024.pdf](#)
- f. FCA Rejection of broker remuneration for CTP setup and connectivity costs
- g. [PDF](#) [AFME Suggested Bond Transparency Calibration; 13Mar2024.pdf](#)
- h. EU MiFIR:
 - i. Comments this week from ESMA on RTS timing
 - ii. [PDF](#) [ESMA clarifies application of certain MiFIR provisions, including volume cap; 27Mar2024.pdf](#)
 - iii. [PDF](#) [ESMA74-2134169708-7163_Public_statement_on_specific_revised_MiFIR_provisions.pdf](#)
 - iv. [PDF](#) [EC FISMA Comms on the draft interpretive notice on the transitional provision of the MiFIR review; 03April2024 .pdf](#)
 - v. [PDF](#) [EC FISMA Annex to the MiFIR Review; 03Apr2024.pdf](#)
 - vi. [PDF](#) [EU makes last-minute dash to close dark share trading loophole; 02Apr2024.pdf](#)
- i. Possible European Sov Bond Clearing Mandate
- j. IOSCO CP on Market Outages; [EVIA Response to IOSCO's Consultation Report on Market Outages; March2024.docx](#) (Draft)
- k. [PDF](#) [IOSCO seeks feedback on exchange governance standards; 06Apr2024; Closes 03July2024.pdf](#) & [PDF](#) [IOSCOPD763; new guidelines reinforcing exchange governance; 06Apr2024.pdf](#)
- l. Practice standard for Fees and Commission structures between the IF and the Venue; Case of Matched Principal arrangements
- m. Rules concerning [US Persons onto EU-UK Trading Venue.pptx](#)
- n. [PDF](#) [FCA; op64_otc-frictions-stressed-markets; UK Gilt Study; 20Mar2024.pdf](#)
- o. [PDF](#) [ESMA35-335435667-5923_List_of_EU_Member_States_using_temporary_exemption_from_PFOF_prohibition_under_the_MiFIR_review.pdf](#)
- p. CSDR L2 / Crest; [PDF](#) [CSDR-Penalties-An-ICMA-briefing-note-on-ESMAs-proposals-to-revise-the-CSDR-Penalty-Mechanism-March-2024-110324.pdf](#)
 - i. [PDF](#) [CSDR-Penalties-An-ICMA-briefing-note-on-ESMAs-proposals-to-revise-the-CSDR-Penalty-Mechanism-March-2024-110324.pdf](#)
- q. [PDF](#) [EMIR Refit go-live; Final steps ahead of go-live; 09April2024.pdf](#)
- r. **Benchmarks / LiBOR / Data Sales**

- i. Use of Broker pricing and marks: [PDF](#) [Consultation paper on amendments to the RTS on Prudent Valuation \(EBA-CP-2024-001\).pdf](#)
- ii. [PDF](#) [28th March 2024 marked a historic moment with the final publication of the last remaining sterling 3M LIBOR setting.pdf](#)
- iii. [PDF](#) [BMR; ECON Approved Final Report; A-9-2024-0076_EN; 20Mar2024.pdf](#) & [PDF](#) [European Parliament report on the proposed Benchmarks Regulation amendments; 20Mar2024.pdf](#)
- iv. [PDF](#) [Committee MEPs voted on new rules for benchmarks; Disagreed with EU Council amendments; Trilogues Deferred; 18Mar2024.pdf](#)
- v. [PDF](#) [Demand for Data Yields Record Revenues for Providers, \\$42.0 Bn up 12.4% yoy; BurtonTaylor; 06Apr2024.pdf](#)
- vi. [PDF](#) [ICE Benchmark Administration Provides Update Regarding the Cessation of Sterling LIBOR; 08Mar2024.pdf](#) & [PDF](#) [FCA Report; article-23d-use-review-3-month-synthetic-sterling-libor; 06Mar2024.pdf](#)
- s. **Crypto & Digital Assets**
 - i. [CP24/5: Digital Securities Sandbox joint Bank of England and FCA Consultation Paper](#)
 - 1. [PDF](#) [DS Sandbox; Joint BOE & FCA CP; 03April2024.pdf](#)
 - ii. [PDF](#) [MiCA; ESMA 3rd CP; ESMA first rules on CASPs; Final Report RTS for cooperation. exchange of information ESAs & TCs; 02Apr2024.pdf](#)
- t. **FX & Money Markets**
 - i. UK Money Market Fund Rules and Repo Access – BOE Meeting

3. Reference Data & Reporting Topics and Queries

- a. Transaction Reporting in the FCA Business Plan
- b. [PDF](#) [Qomply Blog; MIFID Shake-Up Planned; ESMA Announces Changes to MiFID Transaction Reporting; 09Apr2024.pdf](#)
- c. **Transaction Reporting Questions Arising:**
 - i. [PDF](#) [EVIA Note; Transaction Reporting Group Call; AOTC v DEAL; 05April2024.pdf](#)
 - ii. FCA Response: *For a complex trade the price reported for each leg should be the price for the overall strategy as set out in Examples 117 and 118 of the [ESMA Guidelines](#). If the complex trade id is used we would expect all legs reported with that complex trade is to have the same price.*
 - iii. Considerations for exchange block trades executed on dealer DMA facilities
 - iv. WI Sovereign Bonds and the Grey Market;
 - v. How should the trading timestamp be populated for client side trades; we know for trades executed on the exchange its execution time.
 - 1. What should be populated for the client side of the trade?
 - vi. Discussion with ESMA on RTS2 Table; Missing line item #5?
 - 1. [W](#) [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](#)
 - vii. Use of NORE in Field 59 - Execution within firm - !! Still outstanding sorry
 - viii. [PDF](#) [ECT WG Minutes March 2024 - Final.pdf](#)
 - 1. [X](#) [FIX_trade_flag_scenarios_v1.3_20240321.xlsx](#) & [PDF](#) [FIX; Trade flag Scenarios; 21March2024.pdf](#)
 - 2. [W](#) [FIX Protocol Gap Analysis - PTT additional reqts v0.2.docx](#)
 - 3. [FIX Trading Community - Fixed Income Pricing Rules.pdf](#)

4. [PDF](#) [FIX EMEA Trading Conference Readout; 14Mar2024.pdf](#)

d. **T+1 & Taskforce:**

- i. [PDF](#) [EUT1-ITF Statement April 2024 Final.pdf](#)
- ii. [PDF](#) [UK Government Backs T+1 Transition Plan; US Securities Industry Still Struggling to Meet T+1 Targets; 05April2024 .pdf](#)
- iii. [PDF](#) [The ~Geffen Report~; UK Accelerated Settlement Taskforce Report; 02April2024.pdf](#)

e. **Exchange Blocks**

- i. Member comments
- ii. [PDF](#) [CME-Group-RA2401-5-Rule-539-Remove-Agency-Cross \(1\).pdf](#)
- iii. [PDF](#) [SER-9357-Amendments-to-Rule-539-04-08-2024.pdf](#)
- iv. [PDF](#) [ICE Circular 24_053; Disciplinary Notice; Summary Fine issued to BNP Paribas SA; 05April2024.pdf](#)

f. **Energy and Commodities**

- i. [PDF](#) [ACM warns market participants regarding possible manipulation on wholesale energy market; 06March2024.pdf](#)
- ii. EC FISMA Comments very Critical of REMIT – seeks to remove spot exemptions, reconsidering C6 exemptions
- iii. [PDF](#) [RPT-Frontier Luther- Principles of Energy Market Regulation - 08 03 2024.pdf](#)
- iv. Concerns over Trayport Automatch Tool & on DMA identity – Discussion with ACER last week
- v. 9th Industry Call this week: EMIR Data in Trade Confirms (UTI and RTN again)
 - 1. Follow-up call on Friday
 - 2. [PDF](#) [Trayport Brokers Requirements Clarifications Notes V5.pdf](#)
- vi. CME Gas Contracts under REMIT? - [PDF](#) [Clifford Chance Advice to FIA; Memorandum on REMIT\(10274841806.2\);14February2024.pdf](#)
 - 1. NYMEX v CME as the OMP?
 - 2. WEP v WEM?
 - 3. Views of FIA
- vii. Progress and further interest to conjointly build Credit Tools
- viii. [PDF](#) [ECB; Speculation in oil and gas prices in times of geopolitical risks.pdf](#)
- ix. [PDF](#) [LEBA Energy Volume Report February 2024.pdf](#) & [PDF](#) [LEBA Energy Analysis February 2024.pdf](#)

4. **Prudential**

- a. [PDF](#) [HM Treasury Approach to Designating Critical Third Parties 2024; 22Mar2024.pdf](#)
- b. Cyber Threats and Testing: c-Best; As a TACIG member we would like to hear your feedback on the TACIG programme and would be grateful if you can add give your thoughts via this survey: <https://www.onlinesurveys.fca.org.uk/FCA-CCG-Survey-2024>

5. **Other**























- a. CFTC Process for IDB SDs; Next Steps & Readout of Call on Friday
- b. Training and Apprenticeships – UK Budget

Annexes, Links and Details

6. Sanctions

- a.  [Navigating the impact of sanctions on commercial contracts; overview of key cases & trends in UK & Singapore; 20Mar2024.pdf](#)
- b. EU Consolidated Sanctions List:
- c. [PDF](#) - v.1.0 ; [CSV](#) - v.1.0 ; [CSV](#) - v.1.1 ; [XML \(Based on XSD\)](#) - v.1.1 ; [XML \(Based on XSD\)](#) - v.1.0
- d. [2 entries have been added to the consolidated list](#) under the [Counter-Terrorism \(Domestic\)](#) regime. On 27 March 2024 HM Treasury designated the following two individuals, pursuant to [The Counter-Terrorism Regulations](#), and they are now subject to an asset freeze:
 - a. Mustafa Ayash (Group ID: 16459)
 - b. Aozma Sultana (Group ID: 16458)
- e. [Lawmakers propose sanctions on US index funds investing in China](#); Act aims to impose penalties on funds that track indices that include Chinese companies. US lawmakers are intensifying efforts to prohibit funds from investing in Chinese companies, in an effort to address the strategic, commercial and national security risks Beijing poses to the US economy and financial markets.
- f. Russia's move to [effectively disband the panel of experts](#) monitoring longstanding United Nations sanctions against North Korea points to a "grim future" for the sanctions enforcement.

7. Latest FCA & BOE Policy Development updates

- a.  [UK & Swiss Regulatory & Political News; Week 12; 18th March 2024 to 23rd March 2024.pdf](#)
- b.  [UK & Swiss Regulatory & Political News; Week 10; 04th March 2024 to 09th March 2024.pdf](#)
- c.  [UK & Swiss Regulatory & Political News; Week 11; 11th March 2024 to 16th March 2024.pdf](#)
- d.  [UK & Swiss Regulatory & Political News; Weeks 13, 14; Easter to 06 April 2024.pdf](#)
- e.  [Accelerated Settlement Taskforce Report; 03Apr2024.pdf](#)
- f.  [AFME Suggested Bond Transparency Calibration; 13Mar2024.pdf](#) &  [AFME; FCA CP 23-32; Improving Transparency for bond and derivatives markets; 06 March 2024.pdf](#)
- g.  [AFME welcomes FCA's Final Report on Wholesale Data Market Study; 05Mar2024.pdf](#)
- h.  [BoE & FCA consult on proposed approach to operating the Digital Securities Sandbox; 03Apr2024.pdf](#)
- i.  [BoE and FCA response to phase two industry recommendations and future strategy; 05Apr2024.pdf](#) &  [tdc-bank-and-fca-response-to-phase-two-industry-recommendations-and-future-strategy.pdf](#)
- j.  [BoE SMMD data on gilt repo activities; LRH Note; 25March2024.pdf](#)
- k.  [BOE Underground; New money, old money; 12Mar2024.pdf](#)
- l.  [EVIA Response to FCA CP23_32; Improving transparency for bond and derivatives markets; 06 March 2024.pdf](#)
- m.  [FCA Business Plan 2024_25; 22Mar2024.pdf](#) &  [Note; FCA publishes Business Plan 2024_25; 22Mar2024.pdf](#)
- n.  [FCA Business Plan gets back to BAU; MW#77 puts spotlight on organised crime; Handbook Notice #117; 06Apr2024.pdf](#)
- o.  [FCA Dear CEO letter warning firms about common failings identified in AML frameworks; 15Mar2024.pdf](#)
- p.  [FCA Handbook Notice No 117; 03Apr2024.pdf](#)
- q.  [FCA New Webpage; The FCA's approach to international firms; 20Mar2024.pdf](#)
- r.  [FCA updates its position on cryptoasset Exchange Traded Notes for professional investors; 13Mar2024.pdf](#)
- s.  [FCA updates its position on cryptoasset Exchange Traded Notes for professional investors; 13Mar2024.pdf](#)

- t. [PDF](#) [FCA; TACC minutes 24q1.pdf](#)
- u. [PDF](#) [ICE Benchmark Administration Provides Update Regarding the Cessation of Sterling LIBOR: 08Mar2024.pdf](#) & [PDF](#) [FCA Report: article-23d-use-review-3-month-synthetic-sterling-libor: 06Mar2024.pdf](#)
- v. [PDF](#) [IRSG-FCA-Phase-1-Stablecoins-Discussion-Paper-response: 08Feb2024.pdf](#) & [PDF](#) [IRSG-response-to-BoE-stablecoin-DP: 08Feb2024.pdf](#)
- w. [PDF](#) [Key takeaways: FCA's new approach to publishing enforcement investigations: 02Apr2024.pdf](#)
- x. [PDF](#) [Minutes of the London FXJSC Main Committee, Legal SubCo, & Ops SubCo Meetings - 29 November 2023.pdf](#)
- y. [PDF](#) [NAO publishes report on BoE's management of non-financial risks; 09Mar2024.pdf](#)
- z. [PDF](#) [Nikhil Rathi, FCA; Investing in outcomes: a regulatory approach to deliver for consumers, markets and competitiveness.pdf](#)
- aa. [PDF](#) [Notes from FCA EMIR Reporting Roundtable: Commodities and Crypto: 07March2024.pdf](#)
- bb. [PDF](#) [Notes from FCA EMIR Reporting Roundtable; PTRR and Novation to CCPs; 07March2024.pdf](#)
- cc. [PDF](#) [Notes from Simmonds2 Webinar interview with Therese Chambers on CP 24-2; 25March2024.pdf](#)
- dd. [PDF](#) [On Fully Closed Repo: 25Mar2024.pdf](#)
- ee. [PDF](#) [Simmons & Simmons note on Enforcement consultation response to FCA CP24-2; 06March2024.pdf](#)
- ff. [PDF](#) [UK Finance response to FCA CP23-31; 21Mar2024.pdf](#)

8. UK Government

- a. [PDF](#) [Brexit challenges UK investment appeal; FIABoca; 13Mar2024.pdf](#)
- b. [PDF](#) [CityUK; Key facts about UK-based financial & related professional services 2024; 12Mar2024.pdf](#)
- c. [PDF](#) [DS Sandbox; Joint BOE & FCA CP; 03April2024.pdf](#)
- d. [PDF](#) [Fit for purpose: UK Treasury Committee scrutinises UK sanctions; 09Mar2024 .pdf](#)
- e. [PDF](#) [HMT Policy Paper; Building a Smarter Financial Services Regulatory Framework Next phase: 22Mar2024.pdf](#) & [PDF](#) [HMT; Building a Smarter Financial Services Regulatory Framework for the UK; The next phase; 23Mar2024.pdf](#)
- f. [PDF](#) [HM Treasury Approach to Designating Critical Third Parties 2024; 22Mar2024.pdf](#)
- g. [PDF](#) [HMT consults on new Private Intermittent Securities and Capital Exchange System \(PISCES\); 08Mar2024.pdf](#)
- h. [PDF](#) [HMT Policy Paper; Building a Smarter Financial Services Regulatory Framework Next phase: 22Mar2024.pdf](#) & [PDF](#) [HMT; Building a Smarter Financial Services Regulatory Framework for the UK; The next phase; 23Mar2024.pdf](#)
- i. [PDF](#) [HMT; M8212 Short selling policy note: Nov2023.pdf](#)
- j. [PDF](#) [Note: HMT consults on improving the effectiveness of the Money Laundering Regulations: 13Mar2024.pdf](#) & [PDF](#) [HMT Consultation; Improving the Effectiveness of the Money Laundering Regulations; Closes 09June2024; 11March2024.pdf](#)
- k. [PDF](#) [Note: UK individual accountability in financial services; Themes, trends & challenges; 21Mar2024.pdf](#) & [PDF](#) [UK individual accountability in financial services; A&O Deck; 21 March 2024.pdf](#)
- l. [PDF](#) [T+1; Charlie Geffen Task force's report set to say 2026 timeline for implementation is possible; 08Mar2024.pdf](#)

- m. [PDF](#) [The ~Geffen Report~; UK Accelerated Settlement Taskforce Report; 02April2024.pdf](#) & [PDF](#) [UK Government Backs ~Geffen Report~ T+1 Transition Plan; US Securities Industry Still Struggling to Meet T+1 Targets; 05April2024 .pdf](#)
- n. [PDF](#) [TSC Report; Sexism in the City; 09Mar2024.pdf](#) & [PDF](#) [HoCs' Treasury Committee Report; Sexism in the City; 09Mar2024.pdf](#)
- o. [PDF](#) [UK Government Backs T+1 Transition Plan; US Securities Industry Still Struggling to Meet T+1 Targets; 05April2024 .pdf](#)
- p. [PDF](#) [UK Government publishes post-legislative scrutiny memorandum on Sanctions & Anti-Money Laundering Act 2018; 09Mar2024.pdf](#)
- q. [PDF](#) [UK-Switzerland BFSA Report; ~Joint CoL & Clifford Chance Explainer; 11March2024.pdf](#)
- r. [PDF](#) [Weighed down by gravity; UK trade policy after Brexit; CER; 11Mar2024.pdf](#)

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

- a. [PDF](#) [EVIA Prudential Roundup; Weeks 13, 14; Easter to 06 April 2024.pdf](#)
- b. [PDF](#) [EVIA Prudential Roundup; Week 12; 18th March 2024 to 23rd March 2024.pdf](#)
- c. [PDF](#) [EVIA Prudential Roundup; Week 11; 11th March 2024 to 16th March 2024.pdf](#)
- d. [PDF](#) [EVIA Prudential Roundup; Week 10; 04th March 2024 to 09th March 2024.pdf](#)
- e. [PDF](#) [AFM; DORA Impact on Trading Platforms; incident-management-capital-markets; 01Mar2023.pdf](#)
 - i. [PDF](#) [AFM; DORA update 1; Getting ready for the arrival of DORA; Q2 2023.pdf](#)
 - ii. [PDF](#) [AFM; DORA update 2; Management of ICT risk for third-party providers; Q4 2023.pdf](#)
 - iii. [PDF](#) [AFM; DORA Update3; Develop an ICT risk management framework; 12Mar2024.pdf](#)
 - iv. [PDF](#) [AFME Note; DORA - Draft RTS \(Second Batch\); 06March2024.pdf](#)
- f. [PDF](#) [ClarusFT; Mechanics & Definitions of the ISDA CSA; Chris Barnes; 13March2024.pdf](#)
- g. [PDF](#) [Commission report on the implementation of 4MLD; 12Mar2024.pdf](#)
- h. [PDF](#) [HM Treasury Approach to Designating Critical Third Parties 2024; 22Mar2024.pdf](#) & [PDF](#) [AFME Response - BoE Critical Third Parties CP 26-23 final.pdf](#)
- i. [PDF](#) [IA guide on operational resilience; 19Mar2024.pdf](#)
- j. [PDF](#) [Op Risk; How GenAI can enhance risk management; 20Mar2024.pdf](#)
- k. [PDF](#) [Open Data Standards in Financial Markets Challenges and Developments - FINAL.pdf](#)
- l. [PDF](#) [Peak private credit; Banking Last Stand; Ghose; 26Mar2024.pdf](#)
- m. [PDF](#) [SEC proposed rule on US Treasury Clearing; Cleary Gottlieb; 20Sep2022.pdf](#)
- n. [PDF](#) [The bank argument on the Basel III endgame is bunk; William Cohan FT OpED; 23Mar2024.pdf](#)
- o. [PDF](#) [UK Finance response to FCA CP23-31; 21Mar2024.pdf](#)
- p. [EC; C\(2024\)1554_0; DR IFR - RTS details for prudential consolidation of an investment firm group; 14Mar2024.pdf](#)

10. EU Rules and ESAs

- a. [PDF](#) [European Regulatory & Political News; Weeks 13, 14; Easter to 06 April 2024.pdf](#)
- b. [PDF](#) [European Regulatory & Political News; Week 12; 18th March 2024 to 23rd March 2024.pdf](#)
- c. [PDF](#) [European Regulatory & Political News; Week 11; 11th March 2024 to 16th March 2024.pdf](#)

- d. [European Regulatory & Political News; Week 10; 04th March 2024 to 09th March 2024.pdf](#)
- e. [20240322-euro-summit-statement-en.pdf](#)
- f. [ACM warns market participants regarding possible manipulation on wholesale energy market; 06March2024.pdf](#)
- g. [AFME OpED; the importance of June's European elections & the new legislative cycle for Europe's capital markets; 09March2024.pdf](#)
- h. [AFME; Report on the role of the capital markets in Germany; 21Mar2024.pdf](#)
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- b. [Market Regs, Post Trading and Benchmarks News & Events; Week 11; 11th March 2024 to 16th March 2024.pdf](#)
- c. [Market Regs, Post Trading and Benchmarks News & Events; Week 12; 18th March 2024 to 23rd March 2024.pdf](#)
- d. [Market Regs, Post Trading and Benchmarks News & Events; Weeks 13, 14; Easter to 06 April 2024.pdf](#)
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- m. [ClarusFT; Cable Cross-Currency Swaps 2024; Chris Barnes; 06March2024.pdf](#)
- n. [Osttra Takes On Baton's Core-FX For FX PvP Settlement; 08Mar2024.pdf](#)
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 - j. [PDF](#) [CFTC's Johnson Warns of the 'Promises and Perils' of AI; 19Mar2024.pdf](#)
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19. US & International

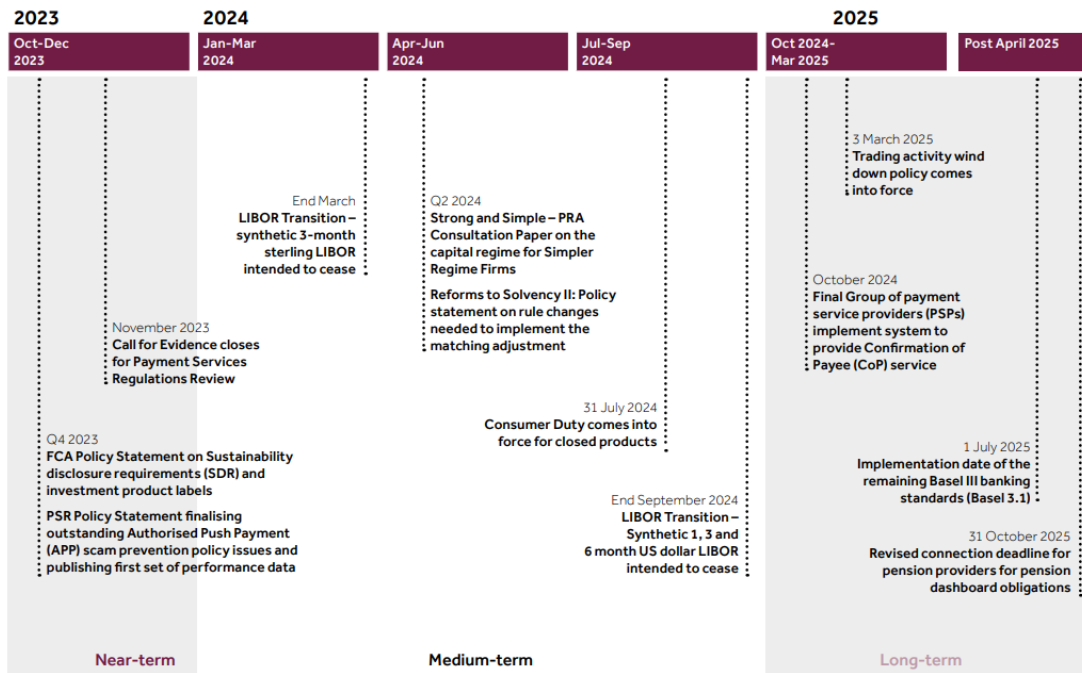
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- s. [PDF ISDA Whitepaper; Charting the Next Phase of Indias OTC-Derivatives-Market; 09Mar2024.pdf](#) & [PDF India-Derivatives-Market-Forum-Scott-OMalia-Opening-Remarks.pdf](#)
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20. Open Consultations - EVIA/LEBA Responding

1. [Open Consultations & Legislative Timetables: 06 April 2024.pdf](#)
2. [IOSCO consults on market outages](#); by 10 April 2024.
3. IOSCO on Exchange Governance – by 16 July 2024
4. FCA; [CP24/2: Our Enforcement Guide and publicising enforcement investigations - a new approach](#); 27Feb2024; Closes 30 April 2024
5. EBA; [Amending Draft Regulatory Technical Standards on prudent valuation under Article 105\(14\) of Regulation \(EU\) No 575/2013](#); 16Jan2024 / Closes 16April2024
6. ESMA; [Consultation on reverse solicitation and classification of crypto assets as financial instruments; 30Jan2024](#); Closes 29April2024

UK Regulatory Calendar



- 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 trialogue 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

21. Weekly Roundups for January 2024 and Prior Compliance Docs

- a.  [EVIA Weekly News; Week 14; Easter to 06 April 2024.pdf](#)
- b.  [EVIA Weekly News; Week 13; 25th March 2024 to Easter.pdf](#)
- c.  [EVIA Weekly News; Week 12; 18th March 2024 to 23rd March 2024.pdf](#)
- d.  [EVIA Weekly News; Week 11; 11th March 2024 to 16th March 2024.pdf](#)
- e.  [EVIA Weekly News; Week 10; 04th March 2024 to 09th March 2024.pdf](#)
- f.  [EVIA Weekly News; Week 09; 26th February 2024 to 02nd March 2024.pdf](#)
- g.  [EVIA & LEBA Compliance Advisory; Regulatory Activities & Initiatives Grid; 0830 Wednesday 10th April 2024.pdf](#)
- h.  [EVIA LEBA Monthly Compliance Meeting Agenda; 06th March 2024.pdf](#)
- i.  [EVIA LEBA Monthly Compliance Meeting Agenda; 07th February 2024.pdf](#)