

Agency Rule List - Fall 2017

Securities and Exchange Commission

Agency	Agenda Stage of Rulemaking	Title	RIN
SEC	Proposed Rule Stage	Amendments to Financial Disclosures About Acquired Businesses	3235-AL77
SEC	Proposed Rule Stage	Guide 3 Bank Holding Company Disclosure	3235-AL79
SEC	Proposed Rule Stage	Amendments to Implement FAST Act Report	3235-AM00
SEC	Proposed Rule Stage	Disclosure of Payments by Resource Extraction Issuers	3235-AM06
SEC	Proposed Rule Stage	Amendments to the Financial Disclosures for Registered Debt Security Offerings	3235-AM12
SEC	Proposed Rule Stage	Exchange-Traded Funds	3235-AJ60
SEC	Proposed Rule Stage	Enhanced Disclosure for Separate Accounts Registered as Unit Investment Trusts and Offering Variable Annuities	3235-AK60
SEC	Proposed Rule Stage	Personalized Investment Advice Standard of Conduct	3235-AL27
SEC	Proposed Rule Stage	Amendments to Securities Act Rules Under the Fair Access to Investment Research Act of 2017	3235-AM24
SEC	Proposed Rule Stage	Transaction Fee Pilot	3235-AM04
SEC	Proposed Rule Stage	Prohibitions and Restrictions on Proprietary Trading and Certain Relationships With Hedge Funds and Private Equity Funds	3235-AM10
SEC	Proposed Rule Stage	Harmonization of Certain Title VII Rules	3235-AM13
SEC	Proposed Rule Stage	Auditor Independence With Respect to Loans or Debtor-Creditor Relationships	3235-AM01
SEC	Proposed Rule Stage	Proposed Amendment to Rule for Nationally Recognized Statistical Rating Organizations	3235-AM05
SEC	Proposed Rule Stage	Amendments to the Commission's Whistleblower Program Rules	3235-AM11
SEC	Final Rule Stage	Treatment of Certain Communications Involving Security-Based Swaps That May be Purchased Only by Eligible Contract Participants	3235-AL41
SEC	Final Rule Stage	Amendments to Interactive Data (XBRL) Program	3235-AL59
SEC	Final Rule Stage	Modernization of Property Disclosures for Mining Registrants	3235-AL81
SEC	Final Rule Stage	Disclosure Update and Simplification	3235-AL82
SEC	Final Rule Stage	Amendments to Smaller Reporting Company Definition	3235-AL90
SEC	Final Rule Stage	Investment Company Reporting Modernization; Option for Website Transmission of Shareholder Reports	3235-AL42
SEC	Final Rule Stage	Amendments to Investment Advisers Act Rules to Conform to the FAST Act	3235-AM02
SEC	Final Rule Stage	Regulation of NMS Stock Alternative Trading Systems	3235-AL66
SEC	Final Rule Stage	Disclosure of Order Handling Information	3235-AL67
SEC	Final Rule Stage	Covered Securities Pursuant to Section 18 of the Securities Act of 1933	3235-AM07
SEC	Final Rule Stage	Amendments to Municipal Securities Rules	3235-AL97



Agency Rule List - Spring 2017

Securities and Exchange Commission

Agency	Agenda Stage of Rulemaking	Title	RIN
SEC	Long-Term Actions	Asset-Backed Securities--Disclosure Requirements for Other Asset Classes	3235-AK37
SEC	Long-Term Actions	Listing Standards for Recovery of Erroneously Awarded Compensation	3235-AK99
SEC	Long-Term Actions	Pay Versus Performance	3235-AL00
SEC	Long-Term Actions	Treatment of Certain Communications Involving Security-Based Swaps That May be Purchased Only by Eligible Contract Participants	3235-AL41
SEC	Long-Term Actions	Registration of Security-Based Swaps	3235-AL44
SEC	Long-Term Actions	Amendments to Regulation D, Form D and Rule 156 Under the Securities Act	3235-AL46
SEC	Long-Term Actions	Disclosure of Hedging by Employees, Officers and Directors	3235-AL49
SEC	Long-Term Actions	Universal Proxy	3235-AL84
SEC	Long-Term Actions	Corporate Board Diversity	3235-AL91
SEC	Long-Term Actions	Investment Company Advertising, Target Date Retirement Fund Name and Marketing	3235-AK50
SEC	Long-Term Actions	Personalized Investment Advice Standard of Conduct	3235-AL27
SEC	Long-Term Actions	Treatment of Certain CDOs Backed Primarily by Trust Preferred Securities With Regard to Prohibitions and Restrictions on Certain Interests in, and Relationships With, Hedge Funds and Private Eq. Fund	3235-AL52
SEC	Long-Term Actions	Stress Testing for Large Asset Managers and Large Investment Companies	3235-AL63
SEC	Long-Term Actions	Ownership Limitations and Governance Requirements for Security-Based Swap Clearing Agencies, Security-Based Swap Execution Facilities, and National Exchanges	3235-AK74
SEC	Long-Term Actions	Prohibition Against Fraud, Manipulation, and Deception in Connection With Security-Based Swaps	3235-AK77
SEC	Long-Term Actions	End-User Exception to Mandatory Clearing of Security-Based Swaps	3235-AK88
SEC	Long-Term Actions	Registration and Regulation of Security-Based Swap Execution Facilities	3235-AK93
SEC	Long-Term Actions	Prohibition Against Conflicts of Interest Relating to Certain Securitizations	3235-AL04
SEC	Long-Term Actions	Incentive-Based Compensation Arrangements	3235-AL06
SEC	Long-Term Actions	Capital, Margin, and Segregation Requirements for Security-Based Swap Dealers and Capital Requirements for Broker-Dealers	3235-AL12
SEC	Long-Term Actions	Removal of Certain References to Credit Ratings Under the Securities Exchange Act of 1934	3235-AL14
SEC	Long-Term Actions	Commission Guidance Regarding Definitions of Mortgage Related Security and Small Business Related Security	3235-AL33
SEC	Long-Term Actions	Reporting and Recordkeeping Requirements for Security-Based Swap Dealers and Major Security-Based Swap Participants	3235-AL45
SEC	Long-Term Actions	Standards for Covered Clearing Agencies; Definition of "Covered Clearing Agency"	3235-AL48
SEC	Long-Term Actions	Covered Broker-Dealer Provisions Under Title II of the Dodd-Frank Wall Street Reform and Consumer Protection Act	3235-AL51
SEC	Long-Term Actions	Exchange-Traded Products	3235-AL57
SEC	Long-Term Actions	Exemption for Certain Exchange Members	3235-AL65
SEC	Long-Term Actions	Establishing the Form and Manner With Which Security-Based Swap Data Repositories Must Make Security-Based Swap Data Available to the Commission	3235-AL72
SEC	Long-Term Actions	Applications by Security-Based Swap Dealers or Major Security-Based Swap Participants for Statutorily Disqualified Associated Persons to Effect or Be Involved in Effecting Security-Based Swaps	3235-AL76
SEC	Long-Term Actions	Risk Mitigation Techniques	3235-AL83
SEC	Long-Term Actions	Third Party Compliance Assessment	3235-AL92
SEC	Long-Term Actions	Certain Natural Gas and Electric Power Contracts	3235-AL93
SEC	Long-Term Actions	Credit Rating Agencies--Conflicts of Interest	3235-AL54
SEC	Long-Term Actions	Disclosure of Payments by Resource Extraction Issuers	3235-AM06

