

Agency Rule List - Spring 2024

Securities and Exchange Commission

Agency	Agenda Stage of Rulemaking	Title	RIN
SEC	Proposed Rule Stage	Financial Data Transparency Act Joint Rulemaking	3235-AN32
SEC	Proposed Rule Stage	Incentive-Based Compensation Arrangements	3235-AL06
SEC	Proposed Rule Stage	Corporate Board Diversity	3235-AL91
SEC	Proposed Rule Stage	Disclosure of Payments by Resource Extraction Issuers	3235-AM06
SEC	Proposed Rule Stage	Rule 144 Holding Period	3235-AM78
SEC	Proposed Rule Stage	Human Capital Management Disclosure	3235-AM88
SEC	Proposed Rule Stage	Regulation D and Form D Improvements	3235-AN04
SEC	Proposed Rule Stage	Revisions to Definition of Securities Held of Record	3235-AN05
SEC	Proposed Rule Stage	Safeguarding Advisory Client Assets	3235-AM32
SEC	Proposed Rule Stage	Open-End Fund Liquidity Risk Management Programs; Form N–PORT Reporting	3235-AM98
SEC	Proposed Rule Stage	Fund Fee Disclosure and Reform	3235-AN12
SEC	Proposed Rule Stage	Conflicts of Interest Associated With the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers	3235-AN14
SEC	Proposed Rule Stage	Customer Identification Programs for Registered Investment Advisers and Exempt Reporting Advisers	3235-AN34
SEC	Proposed Rule Stage	Exchange-Traded Products	3235-AL57
SEC	Proposed Rule Stage	Regulation ATS Modernization	3235-AN16
SEC	Final Rule Stage	EDGAR Filer Access and Account Management	3235-AM58
SEC	Final Rule Stage	Rule 14a-8 Amendments	3235-AM91
SEC	Final Rule Stage	Enhanced Disclosures by Certain Investment Advisers and Investment Companies about Environmental, Social, and Governance Investment Practices	3235-AM96
SEC	Final Rule Stage	Cybersecurity Risk Management for Investment Advisers, Registered Investment Companies, and Business Development Companies	3235-AN08
SEC	Final Rule Stage	Outsourcing by Investment Advisers	3235-AN18
SEC	Final Rule Stage	Registration for Index-Linked Annuities; Amendments to Form N-4 for Index-Linked and Variable Annuities	3235-AN30
SEC	Final Rule Stage	Qualifying Venture Capital Funds Inflation Adjustment	3235-AN33
SEC	Final Rule Stage	Electronic Submission of Certain Materials Under the Securities Exchange Act of 1934; Amendments Regarding FOCUS Report	3235-AL85
SEC	Final Rule Stage	Amendments to Exchange Act Rule 3b-16 re Definition of "Exchange"; Regulation ATS and Regulation SCI for ATSs That Trade U.S. Government Securities, NMS Stocks and Other Securities	3235-AM45
SEC	Final Rule Stage	Order Competition Rule	3235-AM57
SEC	Final Rule Stage	Amendments to NMS Plan for the Consolidated Audit Trail-Data Security	3235-AM62
SEC	Final Rule Stage	Cybersecurity Risk Management Rules for Broker-Dealers, Clearing Agencies, MSBSPs, the MSRB, National Securities Associations, National Securities Exchanges, SBSDRs, SBS Dealers, and Transfer Agents	3235-AN15
SEC	Final Rule Stage	Covered Clearing Agency Resiliency and Recovery and Wind-Down Plans	3235-AN19
SEC	Final Rule Stage	Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders	3235-AN23
SEC	Final Rule Stage	Regulation Best Execution	3235-AN24
SEC	Final Rule Stage	Regulation Systems Compliance and Integrity	3235-AN25
SEC	Final Rule Stage	Reporting of Security-Based Swap Positions	3235-AN27
SEC	Final Rule Stage	Daily Computation of Customer and Broker-Dealer Reserve Requirements Under the Broker-Dealer Customer Protection Rule	3235-AN28
SEC	Final Rule Stage	Volume-Based Exchange Transaction Pricing for NMS Stocks	3235-AN29



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