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TL;DR: Regulations Edition

DTCC

SR-DTC-2021-003
Obligation to Reconcile Activity on a Regular Basis
Changes the risk/margin reporting period from monthly to daily.
FILED 2021-03-09
EFFECTIVE 2021-03-16

SR-DTC-2021-004
Amend the Recovery & Wind-down Plan
Outlines procedures for asset liquidation in the event of a defaulting member.
FILED 2021-03-09
EFFECTIVE 2021-03-16

SR-DTC-2021-005
Asset Tagging and Share Lending Revisions
Prevents loaned/borrowed shares from being loaned/borrowed more than once.
FILED 2021-04-01
EFFECTIVE N/A

SR-DTC-2021-006
Remove the Security Holder Tracking Service
Removes the old method of asset tracking in favor of SR-DTC-2021-005.
FILED 2021-04-22
EFFECTIVE 2021-04-22

SR-DTC-2021-007
Update the DTC Corporate Actions Distributions Service Guide
Eliminates the APO system in favor of the Claim Connect system for fee reconciliation between parties. Mandatory by 2021-07-09.
FILED 2021-04-30
EFFECTIVE 2021-04-30

NSCC

SR-NSCC-2021-002
Amend the Supplemental Liquidity Deposit Requirements
Automates the margin call process when daily reports indicate a member is overleveraged.
FILED 2021-03-05
EFFECTIVE N/A

SR-NSCC-2021-004
Amend the Recovery & Wind-down Plan
NSCC version of SR-DTC-2021-004 to define procedures for asset liquidation in the event of a defaulting member.
FILED 2021-03-05
EFFECTIVE 2021-03-16

SR-NSCC-2021-005
Increase the NSCC's Minimum Required Fund Deposit
Increases the minimum required fund deposit for DTCC members from \$10,000 to \$250,000 each.
FILED 2021-04-26
EFFECTIVE N/A

OCC

SR-OCC-2021-003
Increase Persistent Minimum Skin-in-the-Game
Increases margin requirements for market makers when dealing with options contracts.
FILED 2021-02-24
EFFECTIVE N/A

SR-OCC-2021-004
Revisions to OCC's Auction Participation Requirements
Allows previously excluded firms to participate in auctions of assets when a member is liquidated.
FILED 2021-03-19
EFFECTIVE 2021-05-19

ICC

SR-ICC-2021-005
Amend the ICC Recovery & Wind-down Plan
ICC version of SR-DTC-2021-004 to define procedures for asset liquidation in the event of a defaulting member.
FILED 2021-03-23
EFFECTIVE 2021-05-19

SR-ICC-2021-007
Update the ICC's Treasury Operations Policies and Procedures
Redefines what can and cannot be considered collateral, reducing overall capital on books and lowering acceptable risk ceilings.
FILED 2021-03-29
EFFECTIVE 2021-05-13

SR-ICC-2021-008
Update the ICC Risk Management Model Description
Redefines how risky collateral is handled in Credit Default Swaps, increases initial margin requirements, and lowers ICC exposure.
FILED 2021-03-31
EFFECTIVE 2021-05-18

SR-ICC-2021-009
Update the ICC Risk Parameter Setting and Review Policy
Changes calculation of risk from using month-to-month averages to using day-to-day averages.
FILED 2021-04-02
EFFECTIVE 2021-05-20

SR-ICC-2021-014
Update the ICC's Fee Schedules
Defines fee schedules for the 2nd half of 2021. Includes reduced fees on CDS (25%) and incentives for risk sharing.
FILED 2021-05-07
EFFECTIVE 2021-05-18

OTHER

Exchange Act Rule 15c3-3 Compliance Letter
Staff Statement on Fully Paid Lending
Establishes a requirement for 100% collateral to be held on all positions within six months.
FILED 2020-10-22
EFFECTIVE 2021-04-22

MSB5978-21: FICC Notice
Intraday Mark-to-Market Charge - Timing of Intraday Collection
Returns MBSD Intraday Mark-to-Market Charge to hourly assessment instead of once-per-day for margins.
FILED 2021-04-21
EFFECTIVE 2021-05-03

LAST UPDATED
2021-05-22