

Title: Fun with Regulations

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## # 0. TLDR

This is the second addition to the Deep Fucking series, you can find [part one here](https://www.reddit.com/r/DeepFuckingValue/comments/oeu3gi/deep\_fucking\_resources\_compilation\_of\_tools/) if you missed it. I have organized most if not all of the relevant regulatory filings into one place. You'll also be able to learn about:

1. What they do
2. When/if they are in effect
3. Where to download/find them

■ **\*\*Please read\*\*** ■

This resource would not have been able to be created without the due diligence from u/stevetheimpact and their [TLDR of Regulations](https://www.reddit.com/user/stevetheimpact/posts/) series, u/nothingbuttherainsir and their [Go / No Go Checklist](https://www.reddit.com/r/Superstonk/comments/nh0f1/update\_go\_nogo\_for\_launch\_the\_checklist\_keeping/), and u/Freedom6 and their [FINRA Short Interesting Reporting Enhancements](https://www.reddit.com/r/Superstonk/comments/nhh0f1/update\_go\_nogo\_for\_launch\_the\_checklist\_keeping/) post.

**\*\*They deserve your upvote more than this this post.\*\***

## # 1. Overview

Since early 2021, I have been saving, organizing, and archiving important GME content, due-diligence, and other relevant information on [Github](https://github.com/verymeticulous/wikAPedia#readme). In doing so, I have been able to start identifying common themes, as well as share/save a copy of all of this magnificent effort put forth by hundreds of thousands of apes (in case the internet breaks).

If I have misinterpreted any regulatory filings, posted the wrong data or information, or am missing a key filing, don't hesitate to reach out and let me know!

## # 2. Regulatory Filings

|Regulation|Description|Date Effective|PDF|

|:-|:-|:-|:-|

**\*\*DTC\*\***|**\*\*The Depository Trust Company is a subsidiary of the DTCC, and was created to reduce costs and provide clearing and settlement efficiencies.\*\***

[1](https://www.dtcc.com/about/businesses-and-subsiidiaries/dtc)|**\*\*Regulatory Rule**

**Filings\*\***](https://www.dtcc.com/legal/sec-rule-filings?subsidiary=DTC&pgs;=1)|

|SR-DTC-2021-003|Changes the risk/margin reporting period from monthly to daily.■ 2021-03-16|[SR-DTC-2021-003-Approval-Notice.pdf](https://github.com/verymeticulous/wikAPedia/files/6784840/SR-DTC-2021-003-Approval-Notice.pdf)|

|SR-DTC-2021-004|Outlines procedures for asset liquidation in the event of a defaulting member.■ 2021-03-16|[SR-DTC-2021-004.pdf](https://github.com/verymeticulous/wikAPedia/files/6784834/SR-DTC-2021-

004.pdf)|

|SR-DTC-2021-005|Prevents loaned/borrowed shares from being loaned/borrowed more than once. |■ 2021-06-25|[SR-DTC-2021-005.pdf](https://github.com/verymeticulous/wikAPedia/files/6784788/SR-DTC-2021-005.pdf)|

|SR-DTC-2021-006|Removes the old method of asset tracking in favor of SR-DTC-2021-005. |■ 2021-04-21|[SR-DTC-2021-006.pdf](https://github.com/verymeticulous/wikAPedia/files/6784830/SR-DTC-2021-006.pdf)|

|SR-DTC-2021-007|Eliminates the APO system in favor of the Claim Connect system for fee reconciliation between parties. \*\*Mandatory 2021-07-09\*\* |■ 2021-04-30|[SR-DTC-2021-007.pdf](https://github.com/verymeticulous/wikAPedia/files/6784828/SR-DTC-2021-007.pdf)|

|SR-DTC-2021-008|Reorganizes existing tax reporting/withholding guides to accommodate for various DTCC procedural changes that have been implemented. |■ 2021-06-08|[SR-DTC-2021-008.pdf](https://github.com/verymeticulous/wikAPedia/files/6784823/SR-DTC-2021-008.pdf)|

|SR-DTC-2021-009|Changes current procedures to clearly define deadlines in order to eliminate existing delay-loop workarounds. |■ 2021-06-16|[SR-DTC-2021-009.pdf](https://github.com/verymeticulous/wikAPedia/files/6784808/SR-DTC-2021-009.pdf)|

|\*\*ICC\*\*|\*\*The ICE Clear Credit was founded to digitize markets and provide greater price transparency.\*\* [[1]](https://www.theice.com/about)|[\*\*Regulatory Rule Filings\*\*](https://www.sec.gov/rules/sro/icc.shtml)|

|SR-ICC-2021-005|ICC version of SR-DTC-2021-004 to define procedures for asset liquidation in the event of a defaulting member. |■ 2021-05-10|[SR-ICC-2021-005.pdf](https://github.com/verymeticulous/wikAPedia/files/6784935/SR-ICC-2021-005.pdf)|

|SR-ICC-2021-007|Redefines what can and cannot be considered collateral, reducing overall capital on books and lowering acceptable risk ceilings. |■ 2021-05-13|[SR-ICC-2021-007.pdf](https://github.com/verymeticulous/wikAPedia/files/6784931/SR-ICC-2021-007.pdf)|

|SR-ICC-2021-008|Redefines how risky collateral is handled in Credit Default Swaps. Increases initial margin requirements, and lowers ICC exposure. |■ 2021-05-18|[SR-ICC-2021-008.pdf](https://github.com/verymeticulous/wikAPedia/files/6784924/SR-ICC-2021-008.pdf)|

|SR-ICC-2021-009|Charges calculation of risk from using month-to-month averages to using day-to-day averages. |■ 2021-05-20|[SR-ICC-2021-009.pdf](https://github.com/verymeticulous/wikAPedia/files/6784922/SR-ICC-2021-009.pdf)|

|SR-ICC-2021-014|Defines fee schedules for the 2nd half of 2021; includes reduced fees on CDS (25%) and incentives for risk sharing. |■ 2021-05-18|[SR-ICC-2021-014.pdf](https://github.com/verymeticulous/wikAPedia/files/6784919/SR-ICC-2021-014.pdf)|

|\*\*OCC\*\*|\*\*The Office of the Comptroller of the Currency is a federal agency that oversees the execution of laws relating to national banks.\*\* [[1]](https://www.investopedia.com/terms/o/office-comptroller-currency-occ.asp#:~:text=The%20Office%20of%20the%20Comptroller%20of%20the%20Currency%20(OCC)%20is,laws%20relating%20to%20national%20banks.)|[\*\*Regulatory Rule Filings\*\*](https://www.sec.gov/rules/sro/occ.htm)|

|SR-OCC-2021-003|Increases margin requirements for market makers when dealing with options contracts. |■ 2021-05-27|[SR-OCC-2021-003.pdf](https://github.com/verymeticulous/wikAPedia/files/6784888/SR-OCC-2021-003.pdf)|

|SR-OCC-2021-004|Allows previously excluded firms to participate in auctions of assets when a member is liquidated. |■ 2021-05-19|[SR-OCC-2021-004.pdf](https://github.com/verymeticulous/wikAPedia/files/6784904/SR-OCC-2021-004.pdf)|

|\*\*NSCC\*\*|\*\*The National Securities Clearing Corporation is a subsidiary of the DTCC, and was created to provide clearing settlement, risk management, central counterparty services, and a guarantee of completion for certain transactions for virtual all broker-to-broker trades.\*\*

[[1]](https://www.dtcc.com/about/businesses-and-subsidaries/nscc)|[\*\*Regulatory Rule Filings\*\*](https://www.dtcc.com/legal/sec-rule-filings?subsidiary=NSCC&pgs;=1)|

|SR-NSCC-2021-002|Automates the margin call process when daily reports indicate a member is overleveraged. |■ 2021-06-23|[SR-NSCC-2021-002.pdf](https://github.com/verymeticulous/wikAPedia/files/6784875/SR-NSCC-2021-002.pdf)|

|SR-NSCC-2021-004|NSCC version of SR-DTC-2021-004 to define procedures for asset liquidation in the event of a defaulting member. |■ 2021-03-18|[SR-NSCC-2021-004.pdf](https://github.com/verymeticulous/wikAPedia/files/6784872/SR-NSCC-2021-004.pdf)|

|SR-NSCC-2021-005|Increases the minimum required fund deposit for DTCC members from \$10,000 to \$250,000 each. |■ TBD (2021-08-12)|[SR-NSCC-2021-005.pdf](https://github.com/verymeticulous/wikAPedia/files/6784869/SR-NSCC-2021-005.pdf)|

|SR-NSCC-2021-006|Removal of the 10-day approval period on proposed rule changes among other numerous amendments. |■ 2021-05-12|[SR-NSCC-2021-006.pdf](https://github.com/verymeticulous/wikAPEdia/files/6784867/SR-NSCC-2021-006.pdf)|

|\*\*Other\*\*|||

|Exchange Act Rule 15c3-3|Establishes a requirement for 100% collateral to be held on all positions within six months. |■ 2021-04-22|[Rule-15c3-3.pdf](https://github.com/verymeticulous/wikAPEdia/files/6784958/Rule-15c3-3.pdf)|

|MSBS978-21: FICC Notice|Returns MBSD Intraday Mark-Market Charge to hourly assessment instead of once-per-day for margins. |■ 2021-05-03|[MBSD978-21.pdf](https://github.com/verymeticulous/wikAPEdia/files/6784986/MBSD978-21.pdf)|

|SR-NYSEAMER-2021-29|Provides incentives for brokers to route retail orders through the NYSE instead of through dark pools/off-market exchanges (OTC). |■ 2021-06-17|[SR-NYSEAMER-2021-29.pdf](https://github.com/verymeticulous/wikAPEdia/files/6784991/SR-NYSEAMER-2021-29.pdf)|

|FINRA Regulatory Notice 21-19|Requires firms to submit synthetic short positions with increased reporting frequency from twice per month to daily or weekly. |■ TBD (Comments accepted until 2021-08-03)|[Regulatory-Notice-21-19.pdf](https://github.com/verymeticulous/wikAPEdia/files/6784777/Regulatory-Notice-21-19.pdf)|

**\*\*Sources\*\***

1. [TLDR of Regulations](https://www.reddit.com/r/Superstonk/comments/o5mhie/tldr\_regulations\_edition\_updated\_20210622\_to/)
2. [Go / No Go Launch Checklist](https://www.reddit.com/r/Superstonk/comments/nhh0f1/update\_go\_nogo\_for\_launch\_the\_checklist\_keeping/)
3. [FINRA Short Interest Position Reporting Enhancements](https://www.reddit.com/r/Superstonk/comments/ofmswd/finra\_requests\_comment\_on\_short\_interest\_position/)

**\*\*Disclaimer:\*\*** This is not financial advise, nor am I a financial advisor. I just like to organize things.

**\*\*Edit 1:\*\*** Formatting and adding last updated header.