

FINRA®

FINRA Perspectives

PCAOB Forum

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AGENDA

- 01 | Recent Regulatory Guidance
- 02 | Risk Monitoring & Examination Observations
- 03 | FINRA FAQs and Key Topic Pages



Recent Regulatory Guidance

- [Regulatory Notice 21-27 – FINRA Announces Update of the Interpretations of Financial and Operational Rules](#)
- [Information Notice 6/3/21 - Redesigned eFOCUS System and SEC Security-Based Swap Reporting Requirements](#)
- [Regulatory Notice 20-36 – FINRA Requests Comment on a Concept Proposal Regarding the Application of FINRA Rules to Security-Based Swaps](#)
- [Regulatory Notice 21-31 – FINRA Establishes New Supplemental Liquidity Schedule \(SLS\)](#)
- [Regulatory Notice 21-05 – SEC Grants FINRA Request for 30-Day Filing Extension for Smaller Broker-Dealers](#)

Recent Regulatory Guidance

- [Regulatory Notice 20-42 – FINRA Seeks Comment on Lessons From the COVID-19 Pandemic](#)
- [Regulatory Notice 21-25 – FINRA Continues to Encourage Firms to Notify FINRA if They Engage in Activities Related to Digital Assets](#)
- [SEC Issues Statement and Requests Comment Regarding the Custody of Digital Asset Securities by Special Purpose Broker-Dealers](#) (December 2020)
- [SEC Division of Trading and Markets Staff No-Action Letter: ATS Role in the Settlement of Digital Asset Security Trades](#) (September 2020)

Recent Regulatory Guidance: COVID-19

- [FAQs Related to Regulatory Relief Due to COVID](#)
 - Net Capital Treatment of Covered Loans Under the CARES Act
- [FAQs Concerning the COVID-19 Pandemic and the Broker-Dealer Financial Responsibility Rules](#)
 - Physical Count
- [SEC Division of Trading and Markets Staff Statement Regarding Requirements for Certain Paper Submissions in Light of COVID-19 Concerns](#)
 - Manual signature relief
 - Notary relief



Recent Regulatory Guidance: Exemption Reporting

- [FAQs Concerning the July 30, 2013 Amendments to the Broker-Dealer Financial Reporting Rule](#)
 - Exemption Reporting: New FAQs 8, 8.1, 12, 12.1, and 12.2
- [FAQs Concerning the Amendments to Certain Broker-Dealer Financial Responsibility Rules](#)
 - Reserve Formula Computation and Possession or Control: New FAQ 18
- [FAQs about Exemption Reporting Under SEA Rule 15c3-3\(k\) for Purposes of FOCUS Reporting and Updating of Membership Agreements](#)
 - New FAQs 1, 2, and 3
- Multiple Business Activities
- Non-Covered Firms/Footnote 74
- (k)(1) Exemptive Provision

Risk Monitoring and Examination Observations

- [2021 Report on FINRA's Examination and Risk Monitoring Program](#)
- Other FINRA Risk Monitoring & Examination Observations



FINRA FAQs and Key Topic Pages

- [FINRA FAQs](#)
- [FINRA Key Topics](#)
 - [Annual Reports](#)
 - [Books and Records](#)
 - [Business Continuity Planning](#)
 - [COVID-19/Coronavirus](#)
 - [Cybersecurity](#)
 - [FinTech](#)
 - [Funding and Liquidity](#)

