

## Agency Rule List - Fall 2018

Securities and Exchange Commission			
Agency	Agenda Stage of Rulemaking	Title	RIN
SEC	Prerule Stage	Harmonization of Exempt Offerings	<a href="#">3235-AM27</a>
SEC	Prerule Stage	Earnings Releases/Quarterly Reports	<a href="#">3235-AM40</a>
SEC	Prerule Stage	Modernization of Investment Company Disclosure	<a href="#">3235-AM28</a>
SEC	Proposed Rule Stage	Amendments to Financial Disclosures About Acquired Businesses	<a href="#">3235-AL77</a>
SEC	Proposed Rule Stage	Business, Financial and Management Disclosure Required By Regulation S-K	<a href="#">3235-AL78</a>
SEC	Proposed Rule Stage	Guide 3 Bank Holding Company Disclosure	<a href="#">3235-AL79</a>
SEC	Proposed Rule Stage	Filing Fee Processing	<a href="#">3235-AL96</a>
SEC	Proposed Rule Stage	Disclosure of Payments by Resource Extraction Issuers	<a href="#">3235-AM06</a>
SEC	Proposed Rule Stage	Extending the Testing the Waters Provision to Non-Emerging Growth Companies	<a href="#">3235-AM23</a>
SEC	Proposed Rule Stage	Accelerated Filer Definition	<a href="#">3235-AM41</a>
SEC	Proposed Rule Stage	Regulation A	<a href="#">3235-AM42</a>
SEC	Proposed Rule Stage	Exchange-Traded Funds	<a href="#">3235-AJ60</a>
SEC	Proposed Rule Stage	Enhanced Disclosure for Separate Accounts Registered as Unit Investment Trusts and Offering Variable Insurance Products	<a href="#">3235-AK60</a>
SEC	Proposed Rule Stage	Use of Derivatives by Registered Investment Companies and Business Development Companies	<a href="#">3235-AL60</a>
SEC	Proposed Rule Stage	Amendments to the Marketing Rules Under the Advisers Act	<a href="#">3235-AM08</a>
SEC	Proposed Rule Stage	Fund of Funds Arrangements	<a href="#">3235-AM29</a>
SEC	Proposed Rule Stage	Offering Reform for Business Development Companies under the Small Business Credit Availability Act and Closed-end Funds under the Economic Growth, Regulatory Relief, and Consumer Protection Act	<a href="#">3235-AM31</a>
SEC	Proposed Rule Stage	Transfer Agents	<a href="#">3235-AL55</a>
SEC	Proposed Rule Stage	Harmonization of Certain Title VII Rules	<a href="#">3235-AM13</a>
SEC	Proposed Rule Stage	Volcker Rule Community Bank Relief and Removing Naming Restrictions	<a href="#">3235-AM43</a>
SEC	Proposed Rule Stage	Amendment to Rule for Nationally Recognized Statistical Rating Organizations	<a href="#">3235-AM05</a>
SEC	Final Rule Stage	Disclosure of Hedging by Employees, Officers and Directors	<a href="#">3235-AL49</a>
SEC	Final Rule Stage	Modernization of Property Disclosures for Mining Registrants	<a href="#">3235-AL81</a>

SEC	Final Rule Stage	Disclosure Update and Simplification	<a href="#">3235-AL82</a>
SEC	Final Rule Stage	Amendments to Implement FAST Act Report	<a href="#">3235-AM00</a>
SEC	Final Rule Stage	Form CRS Relationship Summary; Amendments to Form ADV; Required Disclosures to Retail Communications and Restrictions on the use of Certain Names or Titles	<a href="#">3235-AL27</a>
SEC	Final Rule Stage	Amendments to Securities Act Rules Under the Fair Access to Investment Research Act of 2017	<a href="#">3235-AM24</a>
SEC	Final Rule Stage	Commission Interpretation Regarding Standard of Conduct for Investment Advisers; Request for Comment on Enhancing Investment Adviser Regulation	<a href="#">3235-AM36</a>
SEC	Final Rule Stage	Capital, Margin, and Segregation Requirements for Security-Based Swap Dealers and Capital Requirements for Broker-Dealers	<a href="#">3235-AL12</a>
SEC	Final Rule Stage	Reporting and Recordkeeping Requirements for Security-Based Swap Dealers and Major Security-Based Swap Participants	<a href="#">3235-AL45</a>
SEC	Final Rule Stage	Definition of "Covered Clearing Agency"	<a href="#">3235-AL48</a>
SEC	Final Rule Stage	Disclosure of Order Handling Information	<a href="#">3235-AL67</a>
SEC	Final Rule Stage	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	<a href="#">3235-AL76</a>
SEC	Final Rule Stage	Transaction Fee Pilot	<a href="#">3235-AM04</a>
SEC	Final Rule Stage	Prohibitions and Restrictions on Proprietary Trading and Certain Relationships With Hedge Funds and Private Equity Funds	<a href="#">3235-AM10</a>
SEC	Final Rule Stage	Regulation Best Interest	<a href="#">3235-AM35</a>
SEC	Final Rule Stage	Amendments to Municipal Securities Disclosure	<a href="#">3235-AL97</a>
SEC	Final Rule Stage	Auditor Independence With Respect to Loans or Debtor-Creditor Relationships	<a href="#">3235-AM01</a>
SEC	Final Rule Stage	Amendments to the Commission's Whistleblower Program Rules	<a href="#">3235-AM11</a>