

Division of Trading and Markets Announcement Regarding Resumption of Normal Operations

The Division of Trading and Markets is returning to normal operations.

We are working towards the prompt resumption of normal Division activities but anticipate that there will be a brief transition period following the recent lapse in appropriations. As such, we plan to address pending filings, submissions and requests for staff action based on when an item was submitted. In other words, absent compelling circumstances or specific regulatory requirements, we expect to address matters in the order in which they were received.

For self-regulatory organization (SRO) rule filings submitted to the Commission after December 26, 2018, we remind market participants that Exchange Act Rule 19b-4(b)(2) provides that a “business day” for purposes of the requirements under the Rule and Section 19(b) of the Exchange Act excludes (among other things) any Saturday, Sunday and any day on which the Commission is subject to a Federal government shutdown. As such, all SRO rule filings submitted to the Electronic Form Filing System (EFFS) during the period starting after the close of business on December 26, 2018 and ending before the open of business on January 28, 2019 shall be deemed filed with the EFFS as of January 28, 2019.

Staff members in the Division will be available to answer questions relating to SRO rule filings and other pertinent federal securities law matters. In addition, we are eager to reengage with market participants and members of the public on the important policy issues before the Division and will recommence the scheduling of in-person meetings. However, we do ask you to recognize that, as we transition to normal operations, staff response times may be longer than ordinary. If you require assistance on an expedited basis, please submit your request, contact information and the reason you believe expedited treatment is necessary to TMemergency@sec.gov or call 202-551-5500.

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