

## Agency Rule List - Spring 2022

### Securities and Exchange Commission

Agency	Agenda Stage of Rulemaking	Title	RIN
SEC	Proposed Rule Stage	Corporate Board Diversity	<a href="#">3235-AL91</a>
SEC	Proposed Rule Stage	Disclosure of Payments by Resource Extraction Issuers	<a href="#">3235-AM06</a>
SEC	Proposed Rule Stage	Rule 144 Holding Period	<a href="#">3235-AM78</a>
SEC	Proposed Rule Stage	Human Capital Management Disclosure	<a href="#">3235-AM88</a>
SEC	Proposed Rule Stage	Special Purpose Acquisition Companies	<a href="#">3235-AM90</a>
SEC	Proposed Rule Stage	Rule 14a-8 Amendments	<a href="#">3235-AM91</a>
SEC	Proposed Rule Stage	Regulation D and Form D Improvements	<a href="#">3235-AN04</a>
SEC	Proposed Rule Stage	Revisions to the Definition of Securities Held of Record	<a href="#">3235-AN05</a>
SEC	Proposed Rule Stage	Amendments to the Custody Rules for Investment Advisers	<a href="#">3235-AM32</a>
SEC	Proposed Rule Stage	Amendments to Fund Names Rule	<a href="#">3235-AM72</a>
SEC	Proposed Rule Stage	Third Party Service Providers	<a href="#">3235-AM95</a>
SEC	Proposed Rule Stage	Rules Related to Investment Companies and Investment Advisers to Address Matters Relating to Environmental, Social and Governance Factors	<a href="#">3235-AM96</a>
SEC	Proposed Rule Stage	Open-End Fund Liquidity and Dilution Management	<a href="#">3235-AM98</a>
SEC	Proposed Rule Stage	Fund Fee Disclosure and Reform	<a href="#">3235-AN12</a>
SEC	Proposed Rule Stage	Amendments to Form PF	<a href="#">3235-AN13</a>
SEC	Proposed Rule Stage	Digital Engagement Practices for Investment Advisers	<a href="#">3235-AN14</a>
SEC	Proposed Rule Stage	Clearing Agency Governance	<a href="#">3235-AK74</a>
SEC	Proposed Rule Stage	Security-Based Swap Execution Facilities	<a href="#">3235-AK93</a>
SEC	Proposed Rule Stage	Prohibition Against Conflicts of Interest Relating to Certain Securitizations	<a href="#">3235-AL04</a>
SEC	Proposed Rule Stage	Exchange-Traded Products	<a href="#">3235-AL57</a>
SEC	Proposed Rule Stage	Electronic Filing of Broker-Dealer, Clearing Agency, and Self-Regulatory Organization Security-Based Swap Entity Reports	<a href="#">3235-AL85</a>
SEC	Proposed Rule Stage	Equity Market Structure Modernization	<a href="#">3235-AM57</a>
SEC	Proposed Rule Stage	Digital Engagement Practices for Broker-Dealers	<a href="#">3235-AN00</a>
SEC	Proposed Rule Stage	Expanding Clearing of Government Securities	<a href="#">3235-AN09</a>
SEC	Proposed Rule Stage	Cybersecurity	<a href="#">3235-AN15</a>
SEC	Proposed Rule Stage	Regulation ATS Modernization	<a href="#">3235-AN16</a>
SEC	Proposed Rule Stage	Narrowing Exemption for Certain Exchange Members	<a href="#">3235-AN17</a>
SEC	Final Rule Stage	Listing Standards for Recovery of Erroneously Awarded Compensation	<a href="#">3235-AK99</a>
SEC	Final Rule Stage	Pay Versus Performance	<a href="#">3235-AL00</a>
SEC	Final Rule Stage	Mandated Electronic Filings	<a href="#">3235-AM15</a>
SEC	Final Rule Stage	Rule 10b5-1 and Insider Trading	<a href="#">3235-AM86</a>
SEC	Final Rule Stage	Climate Change Disclosure	<a href="#">3235-AM87</a>
SEC	Final Rule Stage	Cybersecurity Risk Governance	<a href="#">3235-AM89</a>
SEC	Final Rule Stage	Proxy Voting Advice	<a href="#">3235-AM92</a>
SEC	Final Rule Stage	Modernization of Beneficial Ownership Reporting	<a href="#">3235-AM93</a>
SEC	Final Rule Stage	Share Repurchase Disclosure Modernization	<a href="#">3235-AM94</a>
SEC	Final Rule Stage	Enhanced Reporting of Proxy Votes by Registered Management Investment Companies; Reporting on Executive Compensation Votes by Institutional Investment Managers	<a href="#">3235-AK67</a>
SEC	Final Rule Stage	Tailored Shareholder Reports, Treatment of Annual Prospectus Updates for Existing Investors, and Improved Fee and Risk Disclosure for Mutual Funds and ETFs; Fee Information in Investment Company Ads	<a href="#">3235-AM52</a>
SEC	Final Rule Stage	Amendments to Form PF to Require Current Reporting and Amend Reporting Requirements for Large Private Equity Advisers and Large Liquidity Fund Advisers	<a href="#">3235-AM75</a>
SEC	Final Rule Stage	Money Market Fund Reforms	<a href="#">3235-AM80</a>
SEC	Final Rule Stage	Electronic Submission of Applications for Orders Under the Advisers Act, Confidential Treatment Requests for Filings on Form 13F, and ADV-NR	<a href="#">3235-AM97</a>
SEC	Final Rule Stage	Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews	<a href="#">3235-AN07</a>
SEC	Final Rule Stage	Cybersecurity Risk Governance	<a href="#">3235-AN08</a>
SEC	Final Rule Stage	Prohibition Against Fraud, Manipulation, and Deception in Connection With Security-Based Swaps; Prohibition Against Undue Influence Over Chief Compliance Officers; and Disclosure of SBS Positions	<a href="#">3235-AK77</a>
SEC	Final Rule Stage	Removal of References to Credit Ratings From Regulation M	<a href="#">3235-AL14</a>

SEC	Final Rule Stage	Short Sale Disclosure Reforms	<a href="#">3235-AM34</a>
SEC	Final Rule Stage	Amendments to Exchange Act Rule 3b-16 re Definition of "Exchange"; Regulation ATS and Regulation SCI for ATSs That Trade U.S. Government Securities, NMS Stocks and Other Securities	<a href="#">3235-AM45</a>
SEC	Final Rule Stage	Amendments to NMS Plan for the Consolidated Audit Trail-Data Security	<a href="#">3235-AM62</a>
SEC	Final Rule Stage	Electronic Recordkeeping Requirements for Broker-Dealers and Security-Based Swap Dealers and Major Security-Based Swap Participants	<a href="#">3235-AM76</a>
SEC	Final Rule Stage	Loan or Borrowing of Securities	<a href="#">3235-AN01</a>
SEC	Final Rule Stage	Amendments to Securities Transaction Settlement Cycle	<a href="#">3235-AN02</a>
SEC	Final Rule Stage	Further Definition of Dealers	<a href="#">3235-AN10</a>
SEC	Final Rule Stage	Amendments to the Commission's Whistleblower Program Rules	<a href="#">3235-AN03</a>

