Open Meeting Agenda
Tuesday, February 6, 2024

ITEM 1: Further Definition of "As a Part of a Regular Business" in the Definition of Dealer and Government Securities Dealer in Connection with Certain Liquidity Providers

OFFICE: Division of Trading and Markets

STAFF: Haoxiang Zhu, David Saltiel, Andrea Orr, Emily Westerberg Russell, John Fahey, Joanne Rutkowski, Shauna Sappington, Bonnie Gauch, Geeta Dhingra, Carl Emigholz, Katherine Lesker

The Commission will consider whether to adopt new rules to further define the phrase "as a part of a regular business" as used in the statutory definitions of the terms "dealer" and "government securities dealer" under the Securities Exchange Act of 1934, in connection with certain liquidity providers.

For further information, please contact Joanne Rutkowski or Shauna Sappington in the Division of Trading and Markets at (202) 551-5550.

Modified: Jan. 30, 2024