

Securities Regulation Daily

Regulation Tracker



SEC Proposed Rule Comment Calendar

Proposal Name	Release No.	Federal Register Citation	Description	Comments Due	Comments Submitted
			There are currently no pending proposed rules.		

(continued)

SEC Final Rule Effective Dates

Final Rule Name	Release No.	Federal Register Citation	Description	Effective Date	Compliance Date
Technical Amendments to Commission Rules and Forms	33-11361	90 Fed Reg. 9684	Technical amendments to various rules and forms under the Securities Act and the Exchange Act, The amendments correct errors that are technical in nature, including typographical errors and erroneous cross-references in various Commission rules and forms.	February 18, 2025	N/A
Daily Computation of Customer and Broker-Dealer Reserve Requirements under the Broker-Dealer Customer Protection Rule	34-102022	90 Fed. Reg. 2790	Amendments to the broker-dealer customer protection rule (Rule 15c3-3) require carrying broker-dealers to calculate reserves and make required deposits daily rather than weekly. The amendments balance this requirement by lowering the debit reduction by broker-dealers that perform a daily reserve computation from 3 percent to 2 percent.	March 14, 2025	See section II of the final rule
Electronic Submission of Certain Materials Under the Securities Exchange Act of 1934; Amendments Regarding the FOCUS Report	33-11342	90 Fed. Reg. 7250	Amended its rules require electronic filing of certain forms and other submissions. Broker-dealers, SBS dealers, and major SBS participants will now make certain filings and submissions that had once been submitted on paper by using the EDGAR system, in structured data format, or by posting them online. The amendments also make changes to the FOCUS Report to harmonize it with other rules and forms.	March 24, 2025	See section VIII of the final rule

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EDGAR Filer Access and Account Management	33-11313	89 Fed. Reg. 106168	Rule and form amendments to improve access to and account management on EDGAR as part of changes related to EDGAR Next. EDGAR filers will be required to authorize designated individuals responsible for managing the filers' accounts. EDGAR Next functionality will include 15 optional APIs. A beta environment will be available until March 21, 2025, and a new EDGAR Filer Management website goes live on March 24, 2025.	Rule and form amendments: March 24, 2025. EDGAR Filer Manual changes: March 24, 2025 and December 22, 2025.	Form ID: March 24, 2025. EDGAR Filer Manual changes: upon effectiveness. All other changes: September 15, 2025.
Form N-PORT and Form N-CEN Reporting; Guidance on Open-End Fund Liquidity Risk Management Programs	IC-35308	89 Fed. Reg. 73764	The SEC adopted amendments to its reporting requirements on Forms N-PORT and N-CEN applicable to certain registered investment companies. Amendments to Form N-Port require funds to file reports on a monthly basis and within 30 days after the end of each month; each monthly report will be public 60 days after the end of the month. Amendments to Form N-CEN require open-end funds that are subject to liquidity risk management program requirements under ICA Rule 22e-4 to report certain information about service providers used to fulfill those requirements. The release also contains guidance on certain open-end fund liquidity risk management program requirements.	November 17, 2025: Amendments to Forms N-PORT and N-CEN, and amendatory instruction 2 to 17 CFR 270.30b1-9. May 18, 2026: Amendatory instruction 3 to 17 CFR 270.30b1-9	See Section II.E of the final rule