Securities Regulation Daily

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SEC Proposed Rule Comment Calendar

Proposal Name	Release No.	Federal Register Citation	Description	Comments Due	Comments Submitted
Publication or Submission of Quotations Without Specified Information	34-105004	91 Fed Reg. 13243	The SEC proposed to amend Rule 15c2-11 to refer only to equity securities. The proposed amendments would replace the term "security" in Rule 15c2-11 with the term "equity security," as defined in Rule 3a11-1. The proposed amendment would not change the existing information gathering and review requirements of the rule, which would continue to apply to brokers and dealers initiating or resuming quotations for any equity security.	May 18, 2026	View comments S7-2026-08
Form N-Port Reporting	IC-35962	91 Fed. Reg. 8582	Amendments to Form N-PORT would: provide reporting funds with an additional 15 days to file monthly reports of portfolio-related information; reduce the publication of reports from monthly to quarterly; and modify Form N-PORT reports to streamline or remove certain reported information, including removing "Names Rule" reporting, and add information about funds with share classes that operate as exchange-traded funds.	April 24, 2026	View comments S7-2023-05

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SEC Final Rule Effective Dates

Final Rule Name	Release No.	Federal Register Citation	Description	Effective Date	Compliance Date
Disclosure of Order Execution Information	Release No. 34-104147	90 Fed. Reg. 47552	The SEC extended the compliance date for amendments to rules requiring the disclosure of order executions in national market system (NMS) stocks from December 14, 2025, to August 1, 2026.	June 14, 2024	August 1, 2026
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. Amendments to Form N-Port require funds to file reports on a monthly basis and within 30 days after the end of each month. Amendments to Form N-CEN require open-end funds that are subject to liquidity risk management program requirements 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.	May 18, 2026: Amendatory instruction 3 to 17 CFR 270.30b1-9	See Section II.E of the final rule

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