Securities Regulation Daily

Regulation Tracker

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SEC Proposed Rule Comment Calendar

Proposal Name	Release No.	Federal Register Citation	Description	Comments Due	Comments Submitted
Proxy Solicitation Modernization	33-11439	91 Fed. Reg. 89582	Proposed reforms to modernize the proxy solicitation process would eliminate: the requirement that companies deliver an annual report to security holders; the delivery deadline when documents are incorporated by reference; and the requirement and ability to submit Notices of Exempt Solicitation. The minimum broker search period would be shortened from 20 business days to five business days.	November 20, 2026	View comments S7-2026-33
Rescission of Rule 14a-8's Federal Regulation of Shareholder Proposals and Amendments to Rule 14a-4	34-106383	91 Fed. Reg. 59904	The SEC has proposed to rescind Exchange Act Rule 14a-8 and leave determinations about the role of shareholder proposals to state law and company governing documents. Proposed amendments to Rule 14a-4(c) broaden the circumstances in which a company may exercise discretionary proxy voting authority on shareholder proposals that will be presented at a shareholder meeting but are not included in company proxy materials.	November 20, 2026	View comments S7-2026-32

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Proposal Name	Release No.	Federal Register Citation	Description	Comments Due	Comments Submitted
Political Contributions by Certain Investment Advisers	IA-6994	91 Fed. Reg. 57698	Proposed rescission of Adviser Act Rule 206(4)-5, the "pay-to-play" rule. The proposal would also amend the recordkeeping rule (275.204-2) to eliminate provisions requiring advisers to make and keep certain records in connection with the political contribution rule.	November 9, 2026	View comments S7-2026-31
Transfer Agent Rules	34-106246	91 Fed. Reg. 56946	Proposed updates to the rules for registered transfer agents would amend the registration and reporting requirements to reflect technological advancements. The proposal also contains new requirements related to turnaround, risk management, and inactive securityholders. Two new rules would require the establishment of compliance policies and address the placement and removal of restrictive legends.	November 3, 2026	View comments S7-2026-30
Exemption of Debt Obligations Issued by the European Union Under the Securities Exchange Act of 1934 for Purposes of Trading Futures Contracts on Those Securities	34-106225	91 Fed. Reg. 56387	Proposed amendments to Rule 240.3a12-8 would add the debt obligations of the EU to the list of foreign government debt obligations designated as "exempted securities" solely for the purposes of futures marketing and trading. The proposed amendments would place futures contracts on EU debt obligations under the exclusive jurisdiction of the CFTC. The offerings of the underlying debt obligations themselves would remain subject to the federal securities laws.	November 2, 2026	Submit comments S7-2026-29

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Proposal Name	Release No.	Federal Register Citation	Description	Comments Due	Comments Submitted
Regulation Crypto Assets	33-11434	91 Fed. Reg. 54510	Regulation Crypto Assets would create a new regulatory framework for non-security crypto assets subject to an investment contract. It would create two new exemptions for securities offerings and a conditional safe harbor from the term "investment contract." The proposal would also preempt state securities law requirements for offers and sales of covered investment contracts issued pursuant to the regulations.	October 20, 2026	View comments S7-2026-27

SEC Final Rule Effective Dates

Final Rule Name	Release No.	Federal Register Citation	Description	Effective Date	Compliance Date
			None Pending		

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