

FREE EPUB MUTUAL FUND REGULATION 2 VOL SET COPY

THE COMMISSION IS ADOPTING A NEW RULE AND AMENDMENTS UNDER THE INVESTMENT COMPANY ACT OF 1940 DESIGNED TO STREAMLINE AND ENHANCE THE REGULATORY FRAMEWORK FOR FUNDS THAT INVEST IN OTHER FUNDS FUND OF FUNDS ARRANGEMENTS THE COMMISSION ALSO IS RESCINDING RULE 12b-1-2 UNDER THE ACT AND MOST EXEMPTIVE ORDERS GRANTING RELIEF FROM SECTIONS 12 RULE 12b-1-4 REQUIRES FUNDS OF FUNDS TO COMPLY WITH CERTAIN CONDITIONS SOME OF THESE CONDITIONS ARE SUMMARIZED BELOW LIMITS ON CONTROL AND VOTING THE SECURITIES AND EXCHANGE COMMISSION TODAY VOTED TO ENHANCE THE REGULATORY FRAMEWORK FOR DERIVATIVES USE BY REGISTERED INVESTMENT COMPANIES INCLUDING MUTUAL FUNDS OTHER THAN MONEY MARKET FUNDS EXCHANGE TRADED FUNDS ETFS AND CLOSED END FUNDS AS WELL AS BUSINESS DEVELOPMENT COMPANIES 2 CFR FREQUENTLY ASKED QUESTIONS PUBLICATION DATE MAY 03 2021 THIS DOCUMENT IS DESIGNED TO ADDRESS COMMON QUESTIONS REGARDING THE OFFICE OF MANAGEMENT AND BUDGET S OMB IMPLEMENTATION OF THE UPDATES TO TITLE 2 OF THE CODE OF FEDERAL REGULATIONS 2 CFR ALSO REFERRED TO AS THE UNIFORM GUIDANCE THIS DOCUMENT PROVIDES ADDITIONAL CONTEXT INTEREST EARNED ON ADVANCES OF FEDERAL FUNDS IS NOT PROGRAM INCOME EXCEPT AS OTHERWISE PROVIDED IN FEDERAL STATUTES REGULATIONS OR THE TERMS AND CONDITIONS OF THE FEDERAL AWARD PROGRAM INCOME DOES NOT INCLUDE REBATES CREDITS DISCOUNTS AND INTEREST EARNED ON ANY OF THEM SEE ALSO 200 407 THE REGULATION IN THIS PART KNOWN AS REGULATION E IS ISSUED BY THE BUREAU OF CONSUMER FINANCIAL PROTECTION BUREAU PURSUANT TO THE ELECTRONIC FUND TRANSFER ACT 15 U S C 1693 ET SEQ THE INFORMATION COLLECTION REQUIREMENTS HAVE BEEN APPROVED BY THE OFFICE OF MANAGEMENT AND BUDGET UNDER 44 U S C 3501 ET SEQ AND HAVE BEEN ASSIGNED OMB NO THIS CHAPTER PRESCRIBES THE FINANCIAL MANAGEMENT GUIDANCE AND POLICY INVOLVING PROJECT ORDERS ISSUED PURSUANT TO THE AUTHORITY IN TITLE 41 UNITED STATES CODE SECTION 6307 41 U S C 6307 FOCUS ON FUNDS FOR THE CRUCIAL JOB OF COMPLIANCE FUNDS GAIN NEW RESOURCE REGULATORY COMPLIANCE TOUCHES ALL CORNERS OF THE MUTUAL FUND AND EXCHANGE TRADED FUND ETF INDUSTRY THE KEY REGULATIONS FOR OWN FUNDS ARE DETAILED IN ARTICLES 87 TO 99 OF SOLVENCY II THE OWN FUNDS SECTION OF THE PRA RULEBOOK THE LEVEL 2 DELEGATED REGULATION 2 DELEGATED REGULATION AND THE EUROPEAN INSURANCE AND OCCUPATIONAL PENSIONS AUTHORITY S EIOPA S CLASSIFICATION GUIDELINES 3 EIOPA BOS 14 168 EN CLASSIFICATION GUIDELINES REGULATION II IMPLEMENTS THE PROVISIONS OF SECTION 920 OF THE EFTA THAT GOVERN DEBIT CARD INTERCHANGE FEES AND NETWORK ROUTING AND EXCLUSIVITY LIMITATIONS SECTION 920 OF THE EFTA ALSO ADDRESSES DISCOUNTS AT THE POINT OF SALE AND TRANSACTION MINIMUMS ON JULY 12 2023 THE SECURITIES AND EXCHANGE COMMISSION SEC THE PRIMARY REGULATOR OF MONEY MARKET MUTUAL FUNDS MONEY MARKET FUNDS ADOPTED AMENDMENTS TO RULE 2A-7 AND OTHER RULES THAT GOVERN MONEY MARKET FUNDS UNDER THE INVESTMENT COMPANY ACT OF 1940 THE NEW RULES THIS DISCUSSION FOCUSES ON THE REGULATION OF MUTUAL FUNDS WHICH ARE THE PREDOMINANT FORM OF REGULATED FUND IN THE UNITED STATES DAILY REDEEMABILITY OF FUND SHARES AT NET ASSET VALUE IS A DEFINING FEATURE OF MUTUAL FUNDS AND ONE AROUND WHICH MANY OF THE REQUIREMENTS APPLICABLE TO THEM ARE BUILT TITLE 2 OF THE CODE OF FEDERAL REGULATIONS ALSO KNOWN AS THE UNIFORM GUIDANCE CONSISTS OF ADMINISTRATIVE REQUIREMENTS COST PRINCIPLES AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS THE COMMISSION ADOPTED REGULATIONS 1-20 THROUGH 1-30 AND REGULATIONS 1-32 AND 1-49 TO IMPLEMENT THE SEGREGATION REQUIREMENTS FOR FUTURES CUSTOMER FUNDS MANDATED BY SECTIONS 4D A 2 AND 4D B OF THE ACT APPLICABLE TO GRANTS MADE BY THE GLOBAL FUND TO FIGHT AIDS TUBERCULOSIS AND MALARIA THIS VERSION PUBLISHED IN 2023 IS APPLICABLE TO ALL GRANTS GOVERNED BY FRAMEWORK AGREEMENTS AMENDED OR EXECUTED AFTER 14 JUNE 2023 APPROVED ON 14 JUNE 2023 NAME OF LAWS AND REGULATIONS AS OF DECEMBER 14 2020 FOR THE FULL TEXT PLEASE SEARCH HERE BY NAME OF LAWS AND REGULATIONS JAPANESE LAW TRANSLATION DATABASE SYSTEM THE FORM OF INTERNATIONAL UNIFORM BROKERAGE EXECUTION SERVICE GIVE UP AGREEMENT PREPARED BY FIA FUTURES INDUSTRY ASSOCIATION IS AVAILABLE FOR REFERENCE AND CAN BE USED AS THE GIVE UP AGREEMENT AMONG A CUSTOMER AN EXECUTING MEMBER AND A CARRYING MEMBER IF THE PARTIES AGREE SO OUTLINE OF RULES TRANSLATION THESE FUNDS ARE POPULAR CASH MANAGEMENT VEHICLES FOR BOTH RETAIL AND INSTITUTIONAL INVESTORS BECAUSE THEY SEEK TO PROVIDE INVESTORS WITH PRINCIPAL STABILITY AND ACCESS TO DAILY LIQUIDITY IN ADDITION MONEY MARKET FUNDS SERVE AS AN IMPORTANT SOURCE OF SHORT TERM FINANCING FOR BUSINESSES BANKS AND FEDERAL STATE MUNICIPAL AND TRIBAL GOVERNMENTS 2 CFR 200 102 OF THE UNIFORM GUIDANCE AND RELATED REGULATIONS IF A RECIPIENT SEEKS TO USE SLFRF FUNDS TO SATISFY MATCH OR COST SHARE REQUIREMENTS FOR A FEDERAL GRANT PROGRAM IT SHOULD FIRST CONFIRM WITH THE RELEVANT THE FINAL REGULATIONS PROVIDE GUIDANCE ON VARIOUS ASPECTS OF THE PWA REQUIREMENTS INCLUDING TAXPAYER RECORDKEEPING REQUIREMENTS WAGE DETERMINATIONS INCLUDING FOR PROJECTS SPANNING MULTIPLE GEOGRAPHIC AREAS OR LOCATED OFFSHORE CORRECTION AND PENALTY PROVISIONS APPRENTICESHIP REQUIREMENTS AND THE GOOD FAITH EFFORT EXCEPTION

SEC UPDATES REGULATORY FRAMEWORK FOR FUND OF FUNDS ARRANGEMENTS

MAY 20 2024

THE COMMISSION IS ADOPTING A NEW RULE AND AMENDMENTS UNDER THE INVESTMENT COMPANY ACT OF 1940 DESIGNED TO STREAMLINE AND ENHANCE THE REGULATORY FRAMEWORK FOR FUNDS THAT INVEST IN OTHER FUNDS FUND OF FUNDS ARRANGEMENTS THE COMMISSION ALSO IS RESCINDING RULE 12D1 2 UNDER THE ACT AND MOST EXEMPTIVE ORDERS GRANTING RELIEF FROM SECTIONS 12

SEC GOV FUND OF FUNDS

APR 19 2024

RULE 12D1 4 REQUIRES FUNDS OF FUNDS TO COMPLY WITH CERTAIN CONDITIONS SOME OF THESE CONDITIONS ARE SUMMARIZED BELOW LIMITS ON CONTROL AND VOTING

SEC GOV SEC ADOPTS MODERNIZED REGULATORY FRAMEWORK FOR

MAR 18 2024

THE SECURITIES AND EXCHANGE COMMISSION TODAY VOTED TO ENHANCE THE REGULATORY FRAMEWORK FOR DERIVATIVES USE BY REGISTERED INVESTMENT COMPANIES INCLUDING MUTUAL FUNDS OTHER THAN MONEY MARKET FUNDS EXCHANGE TRADED FUNDS ETFS AND CLOSED END FUNDS AS WELL AS BUSINESS DEVELOPMENT COMPANIES

2 CFR FREQUENTLY ASKED QUESTIONS

FEB 17 2024

2 CFR FREQUENTLY ASKED QUESTIONS PUBLICATION DATE MAY 03 2021 THIS DOCUMENT IS DESIGNED TO ADDRESS COMMON QUESTIONS REGARDING THE OFFICE OF MANAGEMENT AND BUDGET S OMB IMPLEMENTATION OF THE UPDATES TO TITLE 2 OF THE CODE OF FEDERAL REGULATIONS 2 CFR ALSO REFERRED TO AS THE UNIFORM GUIDANCE THIS DOCUMENT PROVIDES ADDITIONAL CONTEXT

2 CFR PART 200 UNIFORM ADMINISTRATIVE REQUIREMENTS COST

JAN 16 2024

INTEREST EARNED ON ADVANCES OF FEDERAL FUNDS IS NOT PROGRAM INCOME EXCEPT AS OTHERWISE PROVIDED IN FEDERAL STATUTES REGULATIONS OR THE TERMS AND CONDITIONS OF THE FEDERAL AWARD PROGRAM INCOME DOES NOT INCLUDE REBATES CREDITS DISCOUNTS AND INTEREST EARNED ON ANY OF THEM SEE ALSO 200 407

12 CFR PART 1005 ELECTRONIC FUND TRANSFERS REGULATION E

DEC 15 2023

THE REGULATION IN THIS PART KNOWN AS REGULATION E IS ISSUED BY THE BUREAU OF CONSUMER FINANCIAL PROTECTION BUREAU PURSUANT TO THE ELECTRONIC FUND TRANSFER ACT 15 U S C 1693 ET SEQ THE INFORMATION COLLECTION REQUIREMENTS HAVE BEEN APPROVED BY THE OFFICE OF MANAGEMENT AND BUDGET UNDER 44 U S C 3501 ET SEQ AND HAVE BEEN ASSIGNED OMB NO

VOLUME 11A CHAPTER 2 U S DEPARTMENT OF DEFENSE

NOV 14 2023

THIS CHAPTER PRESCRIBES THE FINANCIAL MANAGEMENT GUIDANCE AND POLICY INVOLVING PROJECT ORDERS ISSUED PURSUANT TO THE AUTHORITY IN TITLE 41 UNITED STATES CODE SECTION 6307 41 U S C 6307

FUND REGULATION COMPLIANCE INVESTMENT COMPANY INSTITUTE

OCT 13 2023

FOCUS ON FUNDS FOR THE CRUCIAL JOB OF COMPLIANCE FUNDS GAIN NEW RESOURCE REGULATORY COMPLIANCE TOUCHES ALL CORNERS OF THE MUTUAL FUND AND EXCHANGE TRADED FUND ETF INDUSTRY

THE STANDARD FORMULA A GUIDE TO SOLVENCY II CHAPTER 1 OWN

SEP 12 2023

THE KEY REGULATIONS FOR OWN FUNDS ARE DETAILED IN ARTICLES 87 TO 99 OF SOLVENCY II THE OWN FUNDS SECTION OF THE PRA RULEBOOK THE LEVEL 2 DELEGATED REGULATION 2 DELEGATED REGULATION AND THE EUROPEAN INSURANCE AND OCCUPATIONAL PENSIONS AUTHORITY S EIOPA S CLASSIFICATION GUIDELINES 3 EIOPA BOS 14 168 EN CLASSIFICATION GUIDELINES

THE FED SUPERVISION AND REGULATION FEDERAL RESERVE BOARD

AUG 11 2023

REGULATION II IMPLEMENTS THE PROVISIONS OF SECTION 920 OF THE EFTA THAT GOVERN DEBIT CARD INTERCHANGE FEES AND NETWORK ROUTING AND EXCLUSIVITY LIMITATIONS SECTION 920 OF THE EFTA ALSO ADDRESSES DISCOUNTS AT THE POINT OF SALE AND TRANSACTION MINIMUMS

MONEY MARKET MUTUAL FUND REFORM 2023 FIDELITY INVESTMENTS

JUL 10 2023

ON JULY 12 2023 THE SECURITIES AND EXCHANGE COMMISSION SEC THE PRIMARY REGULATOR OF MONEY MARKET MUTUAL FUNDS MONEY MARKET FUNDS ADOPTED AMENDMENTS TO RULE 2A 7 AND OTHER RULES THAT GOVERN MONEY MARKET FUNDS UNDER THE INVESTMENT COMPANY ACT OF 1940 THE NEW RULES

COMPREHENSIVE REGULATORY REGIME FOR U S MUTUAL FUNDS ICI

JUN 09 2023

THIS DISCUSSION FOCUSES ON THE REGULATION OF MUTUAL FUNDS WHICH ARE THE PREDOMINANT FORM OF REGULATED FUND IN THE UNITED STATES DAILY REDEEMABILITY OF FUND SHARES AT NET ASSET VALUE IS A DEFINING FEATURE OF MUTUAL FUNDS AND ONE AROUND WHICH MANY OF THE REQUIREMENTS APPLICABLE TO THEM ARE BUILT

UNIFORM GUIDANCE TITLE 2 OF THE CODE OF FEDERAL REGULATIONS

MAY 08 2023

TITLE 2 OF THE CODE OF FEDERAL REGULATIONS ALSO KNOWN AS THE UNIFORM GUIDANCE CONSISTS OF ADMINISTRATIVE REQUIREMENTS COST PRINCIPLES AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

FEDERAL REGISTER INVESTMENT OF CUSTOMER FUNDS BY FUTURES

APR 07 2023

THE COMMISSION ADOPTED REGULATIONS 1 20 THROUGH 1 30 AND REGULATIONS 1 32 AND 1 49 TO IMPLEMENT THE SEGREGATION REQUIREMENTS FOR FUTURES CUSTOMER FUNDS MANDATED BY SECTIONS 4D A 2 AND 4D B OF THE ACT

GRANT REGULATIONS VERSION 2

MAR 06 2023

APPLICABLE TO GRANTS MADE BY THE GLOBAL FUND TO FIGHT AIDS TUBERCULOSIS AND MALARIA THIS VERSION PUBLISHED IN 2023 IS APPLICABLE TO ALL GRANTS GOVERNED BY FRAMEWORK AGREEMENTS AMENDED OR EXECUTED AFTER 14 JUNE 2023 APPROVED ON 14 JUNE 2023

LAWS REGULATIONS FSA

FEB 05 2023

NAME OF LAWS AND REGULATIONS AS OF DECEMBER 14 2020 FOR THE FULL TEXT PLEASE SEARCH HERE BY NAME OF LAWS AND REGULATIONS JAPANESE LAW TRANSLATION DATABASE SYSTEM

RULES REGULATIONS TOKYO FINANCIAL EXCHANGE INC TFX

JAN 04 2023

THE FORM OF INTERNATIONAL UNIFORM BROKERAGE EXECUTION SERVICE GIVE UP AGREEMENT PREPARED BY FIA FUTURES INDUSTRY ASSOCIATION IS AVAILABLE FOR REFERENCE AND CAN BE USED AS THE GIVE UP AGREEMENT AMONG A CUSTOMER AN EXECUTING MEMBER AND A CARRYING MEMBER IF THE PARTIES AGREE SO OUTLINE OF RULES TRANSLATION

FINAL RULE MONEY MARKET FUND REFORMS FORM PF REPORTING

DEC 03 2022

THESE FUNDS ARE POPULAR CASH MANAGEMENT VEHICLES FOR BOTH RETAIL AND INSTITUTIONAL INVESTORS BECAUSE THEY SEEK TO PROVIDE INVESTORS WITH PRINCIPAL STABILITY AND ACCESS TO DAILY LIQUIDITY IN ADDITION MONEY MARKET FUNDS SERVE AS AN IMPORTANT SOURCE OF SHORT TERM FINANCING FOR BUSINESSES BANKS AND FEDERAL STATE MUNICIPAL AND TRIBAL GOVERNMENTS

DEPARTMENT OF THE TREASURY

NOV 02 2022

2 CFR 200 102 OF THE UNIFORM GUIDANCE AND RELATED REGULATIONS IF A RECIPIENT SEEKS TO USE SLFRF FUNDS TO SATISFY MATCH OR COST SHARE REQUIREMENTS FOR A FEDERAL GRANT PROGRAM IT SHOULD FIRST CONFIRM WITH THE RELEVANT

FINAL REGULATIONS GUIDANCE ON PWA REQUIREMENTS KPMG UNITED

OCT 01 2022

THE FINAL REGULATIONS PROVIDE GUIDANCE ON VARIOUS ASPECTS OF THE PWA REQUIREMENTS INCLUDING TAXPAYER RECORDKEEPING REQUIREMENTS WAGE DETERMINATIONS INCLUDING FOR PROJECTS SPANNING MULTIPLE GEOGRAPHIC AREAS OR LOCATED OFFSHORE CORRECTION AND PENALTY PROVISIONS APPRENTICESHIP REQUIREMENTS AND THE GOOD FAITH EFFORT EXCEPTION

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