

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
SEC	Study Regarding Obligations of Brokers, Dealers, and Investment Advisers	09 Title IX	Request for Comment	<a href="#">Release</a>	08/30/2010
CFTC;SEC	Definitions Contained in Title VII of Dodd-Frank Wall Street Reform Consumer Protection Act	07 Title VII	Advanced Notice of Proposed Rulemaking; Request For Comments	<a href="#">75 FR 51429</a>	09/20/2010
CFTC	Notice Regarding the Treatment of Petitions Seeking Grandfather Relief for Trading Activity Done in Reliance Upon Section 2(h)(1)-(2) of the Commodity Exchange Act	07 Title VII	Notice	<a href="#">75 FR 56512</a>	10/18/2010
CFTC	Orders Regarding the Treatment of Petitions Seeking Grandfather Relief for Exempt Commercial Markets and Exempt Boards of Trade	07 Title VII	Notice; final order	<a href="#">75 FR 56513</a>	10/18/2010
FDIC;FRB; OCC;OTS	Advance Notice of Proposed Rulemaking Regarding Alternatives to the Use of Credit Ratings in the Risk-Based Capital Guidelines of the Federal Banking Agencies - Joint ANPR on alternatives to the use by banking agencies of credit ratings in their risk-based capital rules	09 Title IX	Joint Notice of Proposed Rulemaking	<a href="#">75 FR 52283</a>	10/25/2010
FRB	Truth in Lending (Regulation Z): Proposed Rule to Revise the Escrow Account Requirements for Higher-Priced, First-lien Jumbo Mortgage Loans	14 Title XIV	Proposed Rule; Request for Public Comment	<a href="#">75 FR 58505</a>	10/25/2010
CFTC	Agricultural Swaps	07 Title VII	Advanced Notice of Proposed Rulemaking; Request For Comments	<a href="#">75 FR 59666</a>	10/28/2010

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
MSRB; SEC	Notice of Proposed Rule Change to Amend Rule A-13 to Increase Transaction Assessments for Municipal Securities Transactions Reported to the Board	09 Title IX	Notice of Proposed Rule	<a href="#">Release</a>	11/09/2010
SEC	Disclosure for Asset-Backed Securities Required by Section 943 of the Wall Street Consumer Reform and Consumer Protection Act	09 Title IX	Proposed Rule	<a href="#">75 FR 62718</a>	11/15/2010
SEC	Issuer Review of Assets in Offerings of Asset-Backed Securities	09 Title IX	Proposed Rule	<a href="#">75 FR 64182</a>	11/15/2010
CFTC	Requirements for Derivatives Clearing Organizations, Designated Contract Markets, and Swap Execution Facilities Regarding the Mitigation of conflicts of Interest	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 63732</a>	11/17/2010
SEC	Definition of Family Offices for Purposes of Exclusion from the Investment Advisers Act	04 Title IV	Proposed Rulemaking	<a href="#">75 FR 63753</a>	11/18/2010
SEC	Reporting of Proxy Votes on Executive Compensation and Other Matters	09 Title IX	Proposed Rulemaking	<a href="#">75 FR 66622</a>	11/18/2010
FDIC	Assessment Dividends; Assessment Rates; and Dividend Reserve Ratios - NPR to set a new designated reserve ratio, implement a dividend policy, and set assessment rates	03 Title III	Notice of Proposed Rulemaking and Request for Comment	<a href="#">75 FR 66272</a>	11/26/2010
CFTC	Agricultural Commodity Definition	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 65586</a>	11/26/2010

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
SEC	Ownership Limitations and Governance Requirements for Security-Based Swap Clearing Agencies, Security-Based Swap Execution Facilities, and National Securities Exchanges with respect to Security-Based Swaps under Regulation MC	07 Title VII	Proposed Rule	<a href="#">75 FR 65882</a>	11/26/2010
CFTC	Position Reports for Physical Commodity Swaps	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 67258</a>	12/02/2010
CFTC	Removing Any Reference to or Reliance on Credit Ratings in Commission Regulation; Proposing Alternatives to the Use of Credit Ratings	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 67254</a>	12/02/2010
CFTC	Investment of Customer Funds and Funds Held in an Account for Foreign Futures and Foreign Options	09 Title IX	Proposed Rule	<a href="#">75 FR 67642</a>	12/03/2010
MSRB;SEC	Notice of Proposed Rule Change Consisting of Amendments to Rule G-5 on Disciplinary Actions and Rule G-17 on Conduct of Municipal Security Activities	09 Title IX	Notice of Proposed Rule	<a href="#">Release</a>	12/09/2010
CFTC	Financial Resources Requirements for Derivatives Clearing Organizations	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 63113</a>	12/13/2010
CFTC	Financial Resources Requirements for Derivatives Clearing Organizations	08 Title VIII	Notice of Proposed Rulemaking	<a href="#">75 FR 63113</a>	12/13/2010
CFTC	Public Input for the Study Regarding the Oversight of Existing and Prospective Carbon Markets	07 Title VII	Notice and Request for Comment	<a href="#">75 FR 72816</a>	12/17/2010

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
SEC	Proposed Rules for Implementing the Whistleblower Provisions of Section 21F of the Securities Exchange Act of 1934	09 Title IX	Proposed Rule	<a href="#">75 FR 70488</a>	12/17/2010
SEC	Rules Implementing Amendments to the Investment Advisers Act of 1940	04 Title IV	Proposed Rulemaking	<a href="#">75 FR 77052</a>	12/20/2010
SEC	Temporary Rule Regarding Principal Trades with Certain Advisory Clients	09 Title IX	Proposed Rulemaking	<a href="#">75 FR 75650</a>	12/20/2010
SEC	Prohibition Against Fraud, Manipulation and Deception in Connection with Security-Based Swaps	07 Title VII	Proposed Rule	<a href="#">75 FR 68560</a>	12/23/2010
FRB	Truth in Lending (Regulation Z): Enhanced Consumer Protections and Disclosures for Home Mortgage Transactions	14 Title XIV	Notice of Proposed Rulemaking.	<a href="#">75 FR 58539</a>	12/23/2010
CFTC	Privacy of Consumer Financial Information; Conforming Amendments Under Dodd-Frank Act	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 66014</a>	12/27/2010
CFTC	Business Affiliate Marketing and Disposal of Consumer Information Rules	10 Title X	Notice of Proposed Rulemaking	<a href="#">75 FR 66018</a>	12/27/2010
CFTC	Privacy of Consumer Financial Information; Conforming Amendments Under Dodd-Frank Act	10 Title X	Notice of Proposed Rulemaking	<a href="#">75 FR 66014</a>	12/27/2010
CFTC;SEC	Acceptance of Public Submissions on a Study Mandated by the Dodd-Frank Wall Street Reform and Consumer Protection Act	07 Title VII	Request for Comments	<a href="#">75 FR 76706</a>	12/31/2010
CFTC	Acceptance of Public Submissions on a Study Mandated by the Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 719(b)	07 Title VII	Public Submissions for Study	<a href="#">75 FR 76706</a>	12/31/2010

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
FDIC	Assessments, Assessment Base and Rates - NPR to implement changes to the assessment base used to determine risk-based premiums for insured depositories and proposed changes in the risk-based pricing system necessitated by changes to the assessment base	03 Title III	Notice of Proposed Rulemaking and Request for Comment	<a href="#">75 FR 72582</a>	01/03/2011
FDIC	Assessments, Large Bank Pricing - NPR on assessments for large banks	03 Title III	Notice of Proposed Rulemaking and Request for Comment	<a href="#">75 FR 72612</a>	01/03/2011
CFTC	Antidisruptive Practices Authority Contained in the Dodd-Frank Wall Street Reform and Consumer Protection Act	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 67301</a>	01/03/2011
CFTC	Process for Review of Swaps for Mandatory Clearing	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 67277</a>	01/03/2011
CFTC	Prohibition of Market Manipulation	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 67657</a>	01/03/2011
CFTC	Provisions Common to Registered Entities	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 67282</a>	01/03/2011
CFTC	Designation of Chief Compliance Officer; Required Compliance Policies; and Annual Report of a Futures Commission Merchant, Swap Dealer, or Major Swap Participant	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 70881</a>	01/18/2011
CFTC	Implementation of Conflicts of Interest Policies and Procedures by Futures Commission Merchants and Introducing Brokers	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 70152</a>	01/18/2011
CFTC	Protection of Cleared Swaps Customers Before and After Commodity Broker Bankruptcies	07 Title VII	Advanced Notice of Proposed Rulemaking; Request For Comments	<a href="#">75 FR 75162</a>	01/18/2011

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
CFTC	Registration of Foreign Boards of Trade	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 70973</a>	01/18/2011
SEC	Regulation SBSR - Reporting and Dissemination of Security Based Swap Information	07 Title VII	Proposed Rule	<a href="#">75 FR 75208</a>	01/18/2011
FSOC	Authority To Designate Financial Market Utilities as Systemically Important - ANPR regarding the criteria and analytical framework that should be applied for designating financial market utilities	01 Title I	Advanced Notice of Proposed Rulemaking	<a href="#">75 FR 79982</a>	01/20/2011
SEC	Exemptions for Advisers to Venture Capital Funds, Private Fund Advisers with Less Than \$150 Million in Assets Under Management, and Foreign Private Advisers	04 Title IV	Proposed Rulemaking	<a href="#">75 FR 77190</a>	01/24/2011
CFTC	Implementation of Conflicts of Interest Policies and Procedures by Swap Dealers and Major Swap Participants	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 71391</a>	01/24/2011
CFTC	Registration of Swap Dealers and Major Swap Participants	07 Title VII	Proposed Rule	<a href="#">75 FR 71379</a>	01/24/2011
CFTC	Regulations Establishing and Governing the Duties of Swap Dealers and Major Swap Participants	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 71397</a>	01/24/2011
SEC	Security-Based Swap Data Repository Registration, Duties, and Core Principles	07 Title VII	Proposed Rule	<a href="#">75 FR 77306</a>	01/24/2011

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
CFTC	Protection of Collateral of Counterparties to Uncleared Swaps; Treatment of Securities in a Portfolio Margining Account in a Commodity Broker Bankruptcy	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 75432</a>	02/01/2011
FRB	Consumer Leasing (Regulation M) - NPR to apply CLA (Regulation M) protections to consumer leases up to \$50,000.	10 Title X	Notice of Proposed Rulemaking.	<a href="#">75 FR 78632</a>	02/01/2011
FRB	Truth in Lending (Regulation Z) - NPR to apply TILA (Regulation Z) protections to consumer credit transactions up to \$50,000.	10 Title X	Notice of Proposed Rulemaking.	<a href="#">75 FR 78636</a>	02/01/2011
CFTC	Implementing the Whistleblower Provisions of Section 23 of the Commodity Exchange Act	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 75728</a>	02/04/2011
SEC	End-User Exception to Mandatory Clearing of Security-Based Swaps	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 79992</a>	02/04/2011
CFTC	Implementing the Whistleblower Provisions of Section 23 of the Commodity Exchange Act (Correction)	07 Title VII	Correction to Proposed Rulemaking	<a href="#">76 FR 4569</a>	02/04/2011
CFTC	Real-Time Public Reporting of Swap Transaction Data Correction	07 Title VII	Correction to Proposed Rule	<a href="#">75 FR 76930</a>	02/07/2011
CFTC	Real-Time Reporting of Public Reporting of Swap Transaction Data	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 76139</a>	02/07/2011
CFTC	Reporting, Recordkeeping, and Daily Trading Records Requirements for Swap Dealers and Major Swap Participants	07 Title VII	Notice of Proposed Rulemaking	<a href="#">75 FR 76666</a>	02/07/2011
CFTC	Swap Data Recordkeeping and Reporting Requirements	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 76573</a>	02/07/2011

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
SEC	Proposed rules regarding suspension of reporting obligations for certain classes of asset-backed securities.	09 Title IX	Proposed Rulemaking	<a href="#">SEC Release</a>	02/07/2011
CFTC	General Regulations and Derivatives Clearing Organizations	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 77576</a>	02/11/2011
SEC	Process for Submissions for Review of Security-Based Swaps for Mandatory Clearing and Notice Filing Requirements for Clearing Agencies; Technical Amendments to Rule 19b-4 and Form 19b-4 Applicable to All Self-Regulatory Organizations	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 82490</a>	02/14/2011
CFTC	Information Management Requirements for Derivatives Clearing Organizations	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 78185</a>	02/14/2011
CFTC;SEC	Further Definition of Swap Dealer, Security-Based Swap Dealer, Major Swap Participant, Major Security-Based Swap Participant and Eligible Contract Participant	07 Title VII	Joint Proposed Rule; Joint Interpretations	<a href="#">75 FR 80174</a>	02/22/2011
SEC	Trade Acknowledgment and Verification of Security-Based Swap Transactions	07 Title VII	Proposed Rulemaking	<a href="#">86 FR 3859</a>	02/22/2011
CFTC	Core Principles and Other Requirements for Designated Contract Markets	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 80572</a>	02/22/2011
CFTC	Business Conduct Standards for Swap Dealers and Major Swap Participants With Counterparties	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 80638</a>	02/22/2011
CFTC	End-User Exception to Mandatory Clearing of Swaps	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 80747</a>	02/22/2011
CFTC	Swap Data Repositories	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 80898</a>	02/22/2011



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Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
CFTC;SEC	Process for Submissions for Review of Security-Based Swaps for Mandatory Clearing and Notice Filing Requirements for Clearing Agencies; Technical Amendments to Rule 19b-4 and Form 19b-4 Applicable to All Self-Regulatory Organizations	08 Title VIII	Proposed Rulemaking	<a href="#">75 FR 82490</a>	02/22/2011
SEC	Proposed Rule establishing a permanent registration regime for municipal advisors required to register with the SEC and imposing certain record-keeping requirements on such advisors.	09 Title IX	Proposed Rule	<a href="#">76 FR 824</a>	02/22/2011
FRB	Proposed Rule on Debit Card Interchange Fees and Routing - NPR to establish standards for debit card interchange fees and prohibit network exclusivity arrangements and routing restrictions.	10 Title X	Notice of Proposed Rulemaking	<a href="#">75 FR 81722</a>	02/22/2011
FSOC	Proposed Rule Regarding Authority To Require Supervision and Regulation of Certain Nonbank Financial Companies - Proposed Rule describes the criteria, the process and the procedures that will govern the designation by the Council of nonbank financial companies as SIFIs	01 Title I	Proposed Rule	<a href="#">76 FR 4555</a>	02/25/2011

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
FDIC;FRB; OCC	Risk-Based Capital Standards: Advanced Capital Adequacy Framework-Basel II; Establishment of a Risk-Based Capital Floor - Notice of Proposed Rulemaking to establish a minimum risk based capital floor for large banking organizations	01 Title I	Notice of Proposed Rulemaking	<a href="#">75 FR 82317</a>	02/28/2011
CFTC	Confirmation, Portfolio Reconciliation, and Portfolio Compression Requirements for Swap Dealers and Major Swap Participants	07 Title VII	Proposed Rulemaking	<a href="#">75 FR 81519</a>	02/28/2011
SEC	Conflict Minerals (Disclosures if originated in Democratic Republic of the Congo or an adjoining country)	15 Title XV	Proposed Rule	<a href="#">75 FR 80948</a>	03/02/2011
SEC	Disclosure of Payments by Resource Extraction Issuers	15 Title XV	Proposed Rule	<a href="#">75 FR 80978</a>	03/02/2011
SEC	Mine Safety Disclosures	15 Title XV	Proposed Rule	<a href="#">Release</a>	03/02/2011
CFTC	Governance Requirements for Derivatives Clearing Organizations, Designated Contract Markets, and Swap Execution Facilities; Additional Requirements Regarding the Mitigation of Conflicts of Interest	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 722</a>	03/07/2011
CFTC	Core Principles and Other Requirements for Swap Execution Facilities	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 1214</a>	03/08/2011
FSOC	Study and recommendations regarding modifications to the concentration limit on large financial companies. FRB is to adopt regulations by 10/18/2011.	06 Title VI	Proposed Rulemaking	<a href="#">76 FR 6756</a>	03/10/2011
SEC	Net Worth Standard for Accredited Investors	04 Title IV	Proposed Rule	<a href="#">76 FR 5307</a>	03/11/2011

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
CFTC	Risk Management Requirements for Derivatives Clearing Organizations	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 3698</a>	03/21/2011
CFTC	Risk Management Requirements for Derivatives Clearing Organizations	08 Title VIII	Proposed Rulemaking	<a href="#">76 FR 3698</a>	03/21/2011
CFTC	Position Limits for Derivatives	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 4752</a>	03/28/2011
FRB	Notice of proposed amendments to FRB's Regulation Y establishing the criteria for determining whether a company is "predominantly engaged in financial activities" and is a "significant nonbank financial company" and "significant bank holding company".	01 Title I	Notice of Proposed Rulemaking	<a href="#">76 FR 7731</a>	03/30/2011
SEC	Registration and Regulation of Security Based Swap Execution Facilities	07 Title VII	Proposed Rulemaking	<a href="#">Release 34-63825</a>	04/04/2011
CFTC	Commodity Options and Agricultural Swaps	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 6095</a>	04/04/2011
FDIC;FRB; OCC;OTS	Banking agencies to have thrifts file call reports beginning with reporting period ending on March 31, 2012. FRB also requiring SLHCs to submit all regulatory reports required to be filed by BHCs, beginning with the reporting period ending on March 31, 2012.	03 Title III	Proposed Rulemaking	<a href="#">76 FR 7082</a>	04/11/2011
CFTC	Swap Trading Relationship Documentation Requirements for Swap Dealers and Major Swap Participants	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 6715</a>	04/11/2011
CFTC	Orderly Liquidation Termination Provision in Swap Trading Relationship Documentation for Swap Dealers and Major Swap Participants	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 6708</a>	04/11/2011

## Dodd-Frank Rulemaking Calendar - Proposed Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Comments Due
CFTC;SEC	Reporting by Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisors on Form PF	04 Title IV	Joint Proposed Rule	<a href="#">76 FR 8068</a>	04/12/2011
CFTC	Commodity Pool Operators and Commodity Trading Advisors: Amendments to Compliance Obligations	07 Title VII	Proposed Rulemaking	<a href="#">76 FR 7976</a>	04/12/2011

## Dodd-Frank Rulemaking Calendar - Interim Final Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Effective Date
MSRB;SEC	Approval of a Proposed Rule Change as Modified by Amendment to Amend Rule A-3 regarding Membership on the Board to Comply with the Dodd-Frank Act	09 Title IX	Final Temporary Rule	<a href="#">75 FR 61806</a>	10/06/2010
MSRB;OCC; SEC	Temporary Registration of Municipal Advisors	09 Title IX	Interim Final Temporary Rule	<a href="#">75 FR 54465</a>	10/08/2010
SEC	Reporting of Security-Based Swap Transaction Data	07 Title VII	Interim Final Temporary Rule; Request for Comments	<a href="#">75 FR 64643</a>	10/12/2010
CFTC	Interim Final Rule for Reporting Pre-Enactment Swap Transactions	07 Title VII	Interim Final Rule: Request for Comment	<a href="#">75 FR 63080</a>	10/14/2010
CFTC	Reporting Certain Post-Enactment Swap Transaction	07 Title VII	Interim Final Rule; Request for Comment	<a href="#">75 FR 78892</a>	12/17/2010
FRB	Truth in Lending: Requirement for Appraiser Independence in Consumer Loans - Interim final rule to set out requirements for real estate appraiser independence in assigning home values	14 Title XIV	Interim Final Rule; Request for Comments	<a href="#">75 FR 66554</a>	12/27/2010
SEC	Temporary Rule Regarding Principal Trades with Certain Advisory Clients. Extension of Temporary rule while study conducted on regulatory standard of care	09 Title IX	Interim Final Rule	<a href="#">75 FR 82236</a>	12/30/2010
FDIC	Interim final rule for orderly liquidation authority of a SIFI that is not a bank, with request for comments due March 28, 2011	02 Title II	Interim Final Rule	<a href="#">76 FR 4207</a>	01/25/2011

## Dodd-Frank Rulemaking Calendar - Final Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Effective Date
SEC	Guidance regarding the "value of the primary residence" for purposes of calculating an investor's net worth	04 Title IV	Guidance	<a href="#">Compliance &amp; Disclosure Interpretation §179.01</a>	07/23/2010
FDIC	Deposit Insurance Regulations; Permanent Increase in Standard Coverage Amount; Advertisement of Membership; International Banking; Foreign Banks - Issued final rule implementing increase in deposit insurance coverage to \$250,000 per account	03 Title III	Final Rule	<a href="#">75 FR 49363</a>	08/13/2010
CFTC	Orders Regarding the Treatment of Petitions Seeking Grandfather Relief for Exempt Commercial Markets and Exempt Boards of Trade	07 Title VII	Notice; final order	<a href="#">75 FR 56513</a>	09/08/2010
NYSE;SEC	Amend NYSE Rule 452 and Listed Company Manual Section 402.08 to Eliminate Broker Discretionary Voting on Executive Compensation Matters	09 Title IX	Notice of Filing and Order Granting Accelerated Approval of a Proposed Rule Change	<a href="#">75 FR 56152</a>	09/15/2010
SEC	Rescission of Rules Pertaining to the Payment of Bounties for Information Leading to the Recovery of Civil Penalties for Insider Trading	09 Title IX	Final Rule	<a href="#">75 FR 57384</a>	09/21/2010
SEC	Commission Guidance Regarding Auditing, Attestation, and Related Professional Practice Standards Related to Broker-Dealers	09 Title IX	Interpretation	<a href="#">75 FR 60616</a>	10/01/2010
MSRB;SEC	Notice of Filing and Immediate Effectiveness of Amended and Restated Articles of Incorporation of MSRB to Reflect Expanded Jurisdiction Granted by the Act	09 Title IX	Final Rule	<a href="#">75 FR 63887</a>	10/01/2010

## Dodd-Frank Rulemaking Calendar - Final Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Effective Date
SEC	Removal of Regulation FD of the Exemption for Credit Rating Agencies	09 Title IX	Final Rule	<a href="#">75 FR 61050</a>	10/04/2010
CFTC	Regulation of Off-Exchange Retail Foreign Exchange Transactions and Intermediaries	07 Title VII	Final Rule	<a href="#">75 FR 55410</a>	10/18/2010
MSRB;SEC	Notice of Filing and Immediate Effectiveness of Amendments to Rule A-7 on Assessments and Rule A-8 on Rulemaking Procedures	09 Title IX	Final Rule	<a href="#">75 FR 70329</a>	11/01/2010
MSRB;SEC	Notice of Filing and Immediate Effectiveness for Definition of Municipal Advisory Activities	09 Title IX	Final Rule	<a href="#">75 FR 70335</a>	11/15/2010
SEC	Facilitating Shareholder Director Nominations	09 Title IX	Final Rule	<a href="#">17 CFR PARTS 200, 232, 240 and 249</a>	11/15/2010
FDIC;FRB;OCC;OTS;NCUA	Agencies issuing final interagency appraisal and evaluation guidelines providing clarification of the agencies' appraisal regulations and supervisory guidance to institutions and examiners about prudent appraisal and evaluation programs	14 Title XIV	Final Guidance	<a href="#">75 FR 77450</a>	12/10/2010
HUD	Emergency Homeowners' Loan Program: Notice of Allocation of Funding for Substantially Similar State Programs	14 Title XIV	Notice	<a href="#">75 FR 69454</a>	12/13/2010
FDIC	Deposit Insurance Regulations; Unlimited Coverage for Noninterest-Bearing Transaction Accounts - Issued final rule implementing unlimited deposit insurance coverage for noninterest-bearing transaction accounts for two years starting December 31, 2010	03 Title III	Final Rule	<a href="#">76 FR 4813</a>	12/31/2010

## Dodd-Frank Rulemaking Calendar - Final Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Effective Date
MSRB;SEC	Notice of Filing and Immediate Effectiveness of Amendments to Rule A-12 and Rule A-14 on Initial Fee and Annual Fee Applicable to Municipal Advisers	09 Title IX	Final Rule	<a href="#">75 FR 70759</a>	12/31/2010
FDIC	Adopted a Final Rule after consideration of comments on its October NPR proposing a DIF Designated Reserve Ratio of 2%	03 Title III	Final Rule	<a href="#">75 FR 79286</a>	01/01/2011
SEC	Adopted streamlined procedural rules regarding filings by self-regulatory organizations: The rules of practice describe the process the Commission will use when it decides to hold hearings to consider rules proposed by self regulatory organizations and the Public Company Accounting Oversight Board	09 Title IX	Adoption of Procedural Rules	<a href="#">76 FR 4066</a>	01/24/2011
FDIC	FDIC issued a Final Rule to extending Temporary Unlimited Deposit Insurance for Noninterest-Bearing Transaction Accounts to Interest on Lawyers Trust Accounts	03 Title III	Final Rule	<a href="#">76 FR 4813</a>	01/27/2011
MSRB;SEC	Approval of Proposed Rule Change regarding amendments to MSRB Rule A-3 establishing a Nominating Committee of the MSBR in compliance with MRSB transitional Rule A-3(i)	09 Title IX	Approval of Proposed Rule	<a href="#">76 FR 5417</a>	01/31/2011
SEC	Adopted rules regarding asset-backed securities' issuers' responsibilities to conduct and disclose a review of the assets	09 Title IX	Final Rule	<a href="#">SEC Release</a>	03/28/2011



## Dodd-Frank Rulemaking Calendar - Final Rules

Regulator	Summary of Activity	Title	Type of Activity	Fed Reg Cite & Link	Effective Date
FDIC	Adopted rules regarding the use of representations and warranties in the asset-backed securities market	09 Title IX	Final Rule	<a href="#">SEC Release</a>	03/28/2011
FDIC	Final Rule implementing changes to the assessment base used to determine risk-based premiums for insured depository institutions	03 Title III	Final Rule	<a href="#">FDIC Release</a>	04/01/2011
FRB	Conformance Period for Entities Engaged in Prohibited Proprietary Trading or Private Equity Fund or Hedge Fund Activities - Establishes conformance period for banking entities and nonbank financial companies supervised by FRB to bring their proprietary trading, hedge fund and private equity fund activities and investments into compliance with the Volcker Rule	06 Title VI	Final Rule	<a href="#">76 FR 8265</a>	04/01/2011
FRB	Truth in Lending: Protect Consumers in the Mortgage Market from Unfair Lending Practices That Can Arise From Certain Loan Originator Compensation Practices	14 Title XIV	Final Rule	<a href="#">75 FR 58509</a>	04/01/2011
SEC	Shareholder Approval of Executive Compensation and Golden Parachute Compensation	09 Title IX	Final Rule	<a href="#">17 CFR 229, 240, and 249</a>	04/04/2011
Treasury	Designated Transfer Date for Transfer of Functions to the Bureau of Consumer Financial Protection	10 Title X	Notice	<a href="#">75 FR 57252</a>	07/21/2011

## Dodd-Frank Calendar - Studies and Reports

Regulator	Title	Summary	Type of Activity	Link To Study	Notes
FRB, FDIC, OCC, OTS	03. Title III	Agencies submitted a joint implementation plan to the Senate Banking and House Financial Services Committees and the IGs of the Fed, FDIC and OCC. (Overview of actions to date to implement sections 301 to 326)	Report	<a href="#">Joint Implementation Plan</a>	
FSOC	06. Title VI	Study and recommendations regarding concentration limits on large financial companies	Study	<a href="#">Study</a>	FRB is to adopt regulations no later than 10/18/2011.
FSOC	06. Title VI	Study and recommendations regarding proprietary trading, hedge fund and private equity fund activities and investments for compliance with the Volcker Rule	Study	<a href="#">Study</a>	FRB is to adopt regulations no later than 10/18/2011.
CFTC	07. Title VII	Report on the Oversight of Existing and Prospective Carbon Markets	Report	<a href="#">Report</a>	
SEC	09. Title IX	Completed study of ways to improve investor access to information about investment advisers and broker-dealers	Study	<a href="#">Study</a>	
SEC	09. Title IX	Report to Congress regarding the study of the obligations of brokers, dealers and investment advisers	Report	<a href="#">Report</a>	
SEC	09. Title IX	Report to Congress regarding the need for enhanced resources for investment adviser examinations and enforcement	Report	<a href="#">Report</a>	See also the Statement on the Study from Commissioner Elisse B. Walter.
FRB	09. Title IX	Report to Congress on the effect of the new risk retention requirements to be developed and implemented by the federal agencies	Report	<a href="#">Report</a>	

## Dodd-Frank Calendar - Studies and Reports

Regulator	Title	Summary	Type of Activity	Link To Study	Notes
FSOC	09. Title IX	Study and recommendations on the macroeconomic effects of the risk retention requirements	Study	<a href="#">Study</a>	
SEC	09. Title IX	Report and certification sent to Congress regarding internal supervisory controls	Report	<a href="#">Report</a>	