

Corporate & Financial Weekly Digest

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FINRA Delays Implementation Date of Expansion of OATS to All NMS Stocks

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The Financial Industry Regulatory Authority has delayed the implementation of the new Order Audit Trail System (OATS) recording and reporting requirements for national market system (NMS) stocks to October 3. FINRA was originally slated to begin phasing in the expansion on July 11. According to the Securities and Exchange Commission, FINRA is delaying the implementation date in an effort to give its members sufficient time to make necessary changes to their systems to enable them to comply with the expanded OATS recording and reporting requirements.

Click [here](#) to read Securities and Exchange Commission Release No. 34-64369.

Click [here](#) for information on previous guidance from FINRA regarding the expansion of OATS to all NMS stocks, as reported in the January 14 edition of *Corporate and Financial Weekly Digest*.

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