

AIMA Regulatory Horizon Scan - North America

Printed: 7/29/24

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Upcoming Implementation ...

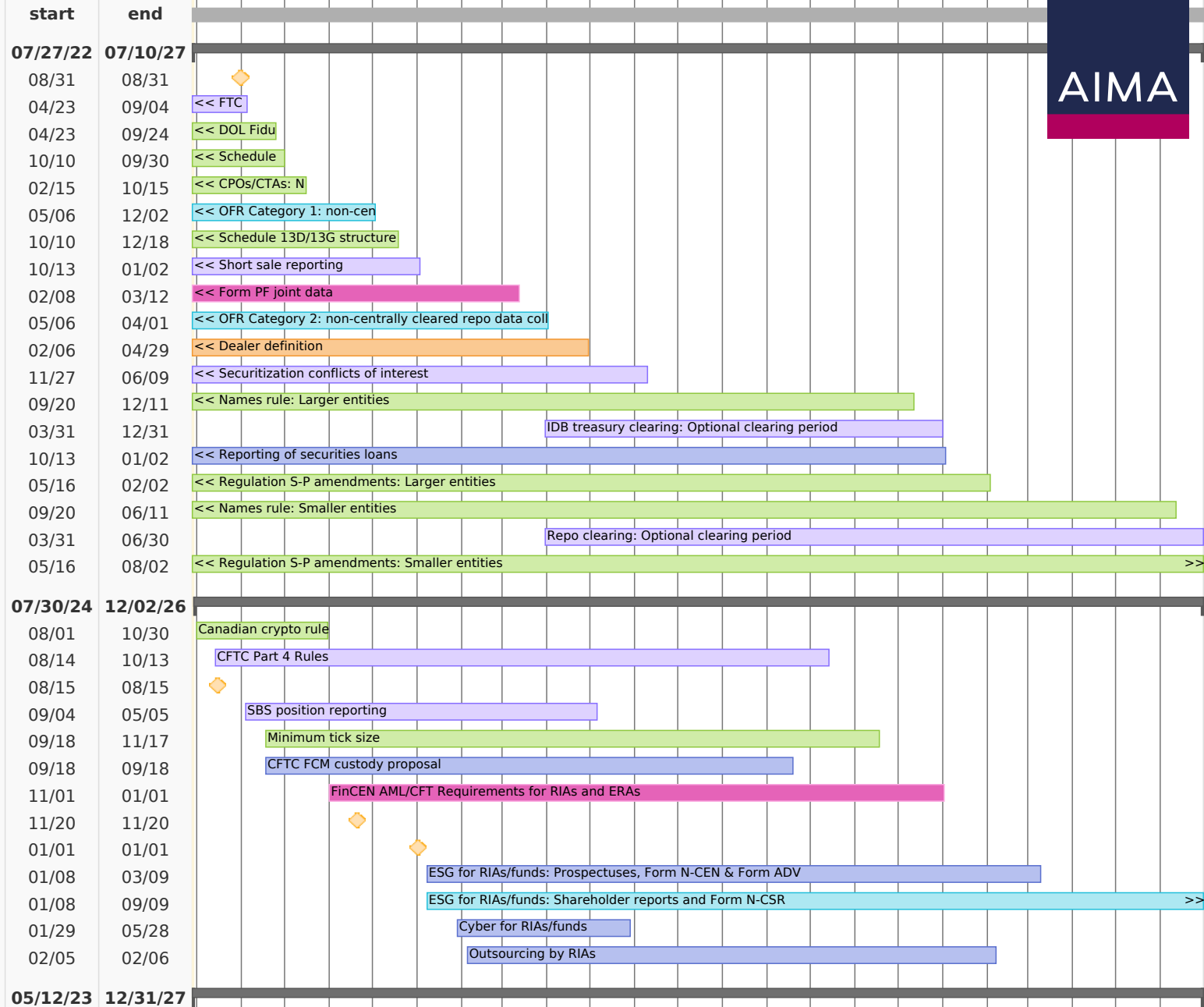
Final Rules

	start	end
First say on pay Form N-PX filing due	08/31	08/31
FTC prohibition on non-competes	04/23	09/04
DOL Fiduciary Duty 3.0	04/23	09/24
Schedule 13G filing requirements	10/10	09/30
CPOs/CTAs: NFA Compliance Rule 2-5...	02/15	10/15
OFR Category 1: non-centrally cleared...	05/06	12/02
Schedule 13D/13G structured data re...	10/10	12/18
Short sale reporting	10/13	01/02
Form PF joint data	02/08	03/12
OFR Category 2: non-centrally cleared...	05/06	04/01
Dealer definition	02/06	04/29
Securitization conflicts of interest	11/27	06/09
Names rule: Larger entities	09/20	12/11
IDB treasury clearing: Optional cleari...	03/31	12/31
Reporting of securities loans	10/13	01/02
Regulation S-P amendments: Larger ...	05/16	02/02
Names rule: Smaller entities	09/20	06/11
Repo clearing: Optional clearing period	03/31	06/30
Regulation S-P amendments: Smaller ...	05/16	08/02

Pending Rules with Closed Consulta...




	07/30/24	12/02/26
Canadian crypto rules for public inves...	08/01	10/30
CFTC Part 4 Rules	08/14	10/13
NAIC Holistic framework	08/15	08/15
SBS position reporting	09/04	05/05
Minimum tick size	09/18	11/17
CFTC FCM custody proposal	09/18	09/18
FinCEN AML/CFT Requirements for RI...	11/01	01/01
NAIC reliance on credit ratings	11/20	11/20
NAIC ABS capital charges	01/01	01/01
ESG for RIAs/funds: Prospectuses, Fo...	01/08	03/09
ESG for RIAs/funds: Shareholder repor...	01/08	09/09
Cyber for RIAs/funds	01/29	05/28
Outsourcing by RIAs	02/05	02/06

Open Consultations and Other Early...



AIMA Regulatory Horizon Scan - North America (con't) Printed: 7/29/24

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US Treasury NPRM U.S. Investments i...	06/21	08/04	
US Treasury Info Request on Uses, O...	06/07	08/12	
FinCEN NPRM on AML Program Rule	07/03	09/03	

--Click the provided links for more information.
 --Dates for pending rules are estimates and subject to change. They have been provided for indicative purposes only.
 --This version of the AIMA Regulatory Horizon Scan covers 07/29/2024 through 06/30/2026. Some compliance periods started earlier or will end later than range. See [FAQ](#). ***This list is not exhaustive. Other final requirements and proposals may affect business. Do not rely on this as your sole source of information.***



AIMA Regulatory Horizon Scan - EMEA

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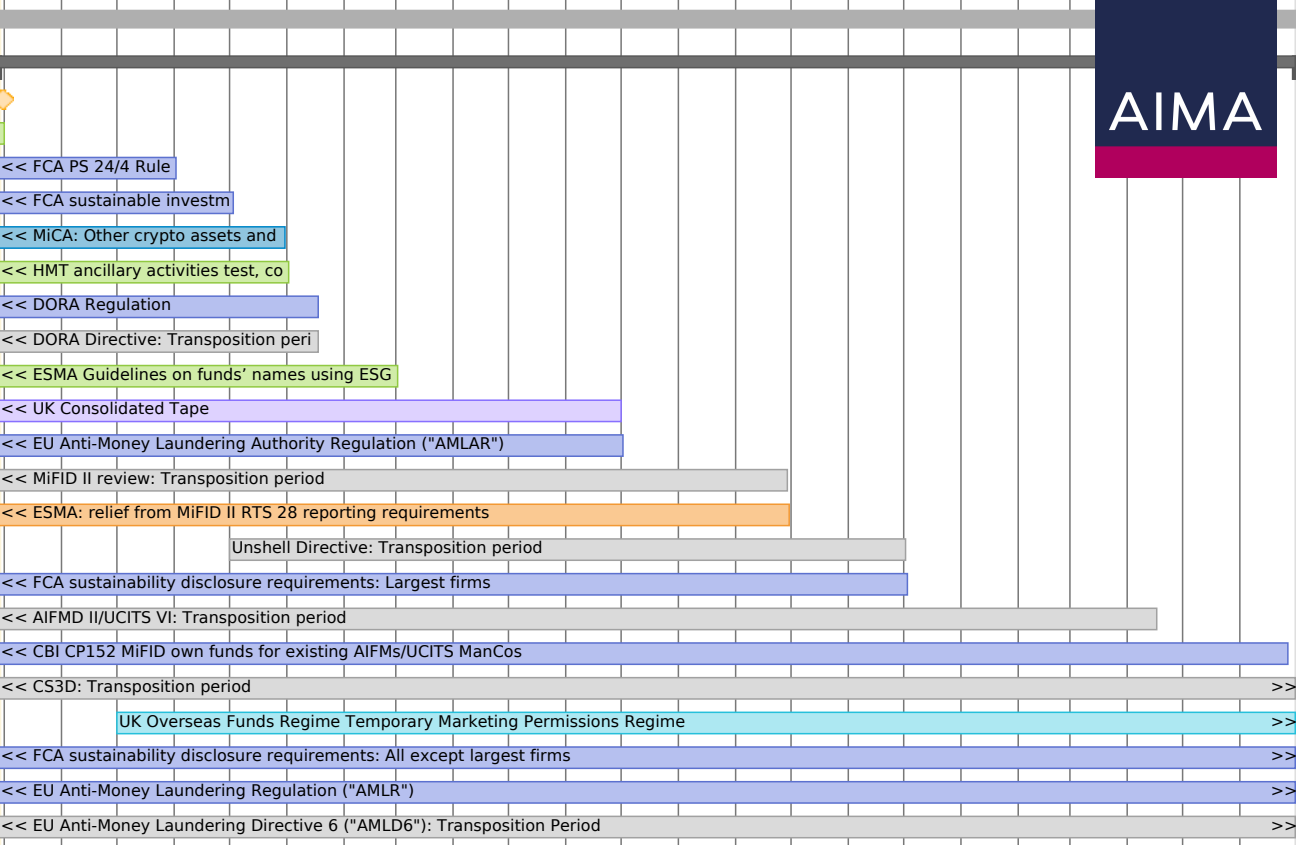
Upcoming Implementation ...

Final Rules

- [FCA sustainable investment labels be...](#)
- [FCA consumer duty: Closed book pro...](#)
- [FCA PS 24/4 Rules Relating to Securiti...](#)
- [FCA sustainable investment naming a...](#)
- [MiCA: Other crypto assets and crypto...](#)
- [HMT ancillary activities test, commodi...](#)
- [DORA Regulation](#)
- [DORA Directive: Transposition period](#)
- [ESMA Guidelines on funds' names usi...](#)
- [UK Consolidated Tape](#)
- [EU Anti-Money Laundering Authority ...](#)
- [MiFID II review: Transposition period](#)
- [ESMA: relief from MiFID II RTS 28 repo...](#)
- [Unshell Directive: Transposition period](#)
- [FCA sustainability disclosure require...](#)
- [AIFMD II/UCITS VI: Transposition period](#)
- [CBI CP152 MiFID own funds for existi...](#)
- [CS3D: Transposition period](#)
- [UK Overseas Funds Regime Temporar...](#)
- [FCA sustainability disclosure require...](#)
- [EU Anti-Money Laundering Regulation...](#)
- [EU Anti-Money Laundering Directive 6...](#)

start end

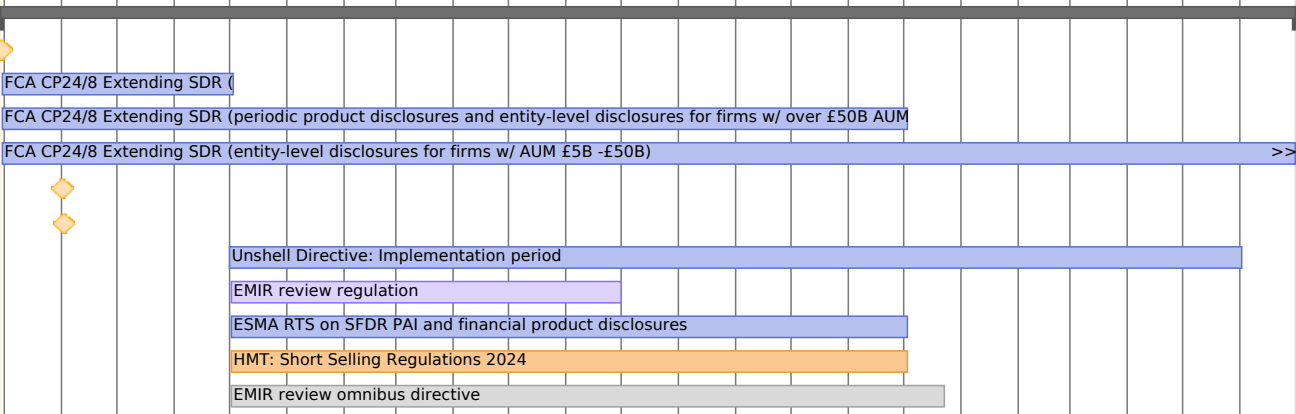
07/27/22 07/10/27



Pending Rules with Closed Consulta...

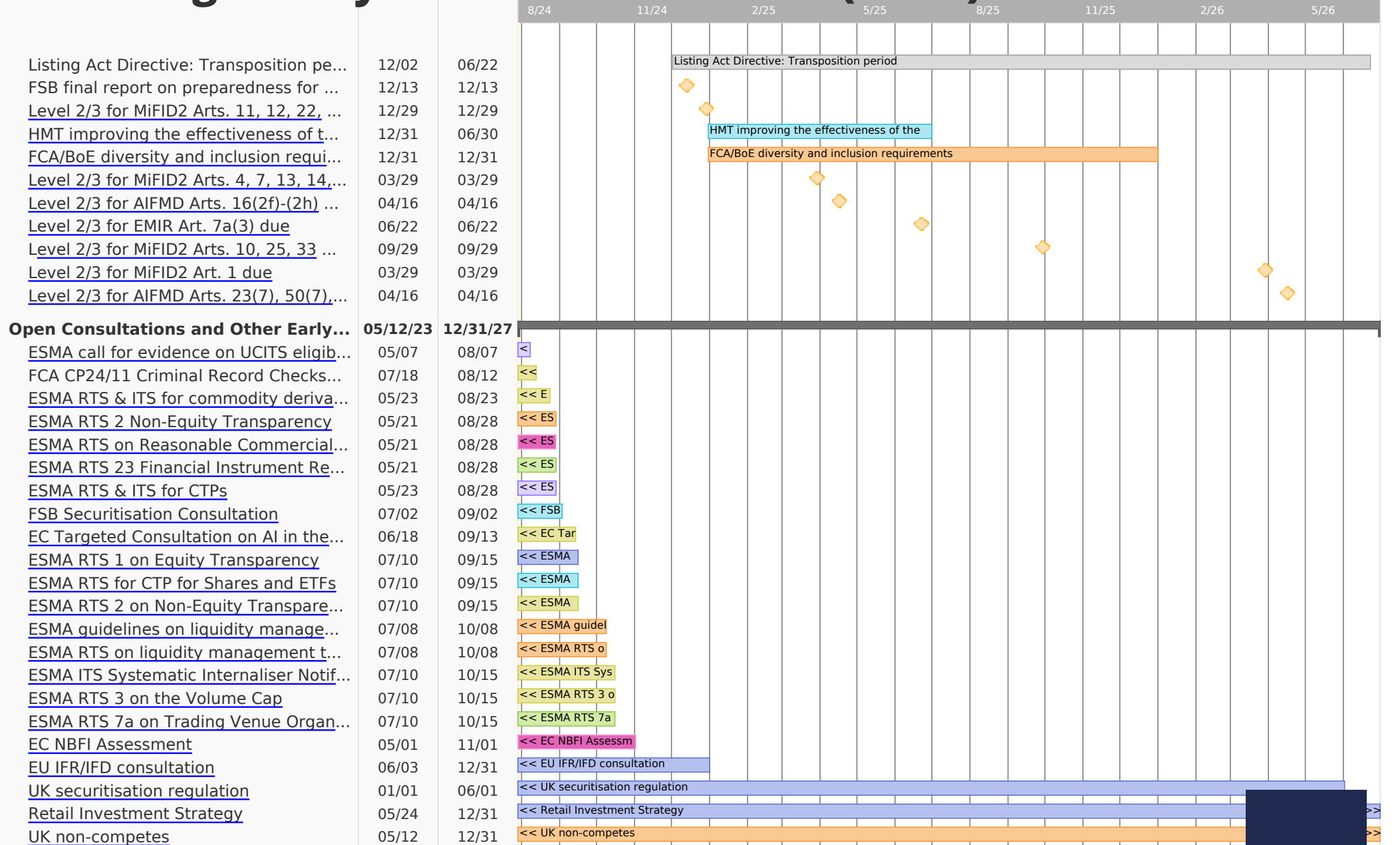
- [UK payment for research \(CP 24/7\)](#)
- [FCA CP24/8 Extending SDR \(labelling,...](#)
- [FCA CP24/8 Extending SDR \(periodic ...](#)
- [FCA CP24/8 Extending SDR \(entity-le...](#)
- [DFSA crypto tokens regulation](#)
- [FCA CP 24/2 publicizing enforcement ...](#)
- [Unshell Directive: Implementation per...](#)
- [EMIR review regulation](#)
- [ESMA RTS on SFDR PAI and financial p...](#)
- [HMT: Short Selling Regulations 2024](#)
- [EMIR review omnibus directive](#)

07/30/24 12/02/26



AIMA Regulatory Horizon Scan - EMEA (con't)

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AIMA

AIMA Regulatory Horizon Scan - APAC

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Upcoming Implementation ...

	start	end
Pending Rules with Closed Consulta...	07/30/24	12/02/26
SFC insider dealing reform (no transit...	11/01	11/01
SFC guidelines on market soundings	11/15	05/15

SFC guidelines on market soundings



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This section is under development, expect additional updates in the coming weeks.



Explanatory Notes

What do the colors of the bars signify?

The color scheme is based on priority and impact. See the chart to the right. These are judgments made by AIMA staff for the convenience of users, although we appreciate that users could have different views about a proposal's priority or impact on their own business.

How can I access more information about the requirements?

Most of the final rules and pending proposals in the lefthand column have a link under it in the pdf version of the AIMA Regulatory Horizon Scan. Clicking that link will take you to another AIMA website page where, for most of the items on the list, you can read a high-level summary of what is required or proposed to be required. You can also view the full timeline there, and members can access AIMA's work to date on the matter. Where relevant, this page will also contain links through which members can access a full summary of what is required, relevant multimedia content and/or implementation guidance. For some of the items, this link takes members directly to a summary of what is required. In this instance, there will be no additional information available for non-members.

Does the forecast include every proposal and every final regulatory requirement with an open compliance period?

No. This is a curated list that AIMA staff have compiled. There will be proposals that affect members which are not included in the forecast.

Members are urged to use the forecasts in conjunction with other resources available to them when deciding whether they have addressed all applicable regulatory requirements.

How are the dates for pending proposals estimated?





All of the dates are ESTIMATES, often based on information from the regulators themselves. For each pending proposal, the webpage accessible via the link under the proposal's name includes a full explanation of the basis for that proposal's indicative dates.

Why do the bars start where they do and why do some of the items have two bars?

The start dates are set to the publication date on the relevant agency website and not the Federal Register, Official Journal or similar. These extra days can be used for planning even if the text is not yet officially recognized. Some of the items have two bars because some matters are due at one compliance deadline and other matters are due at a later date. These differences are reflected for clarity.

Where are international regulations (i.e., those stemming from IOSCO, FSB, etc.) placed?

Even though these are international bodies, for Horizon Scan purposes they have been placed in the EMEA section.

	Priority	Impact
	High	High
	High	Medium
	High	Low
	Medium	High
	Medium	Medium
	Medium	Low
	Low	High
	Low	Medium
	Low	Low