

# Final Rules & Studies (by section)

\*As of December 31, 2011

Publication Date	Effective Date	Agency	Action Type	Description	Topics	DFA Reference
7/26/2011	N/A	<b>FSOC</b>	Report	FSOC 2011 Annual Report.	Agency Administration	Sec. 112
11/1/2011	11/30/2011	<b>FRB, FDIC</b>	Final Rule	Resolution Plans Required.	Banking; Systemically Important Financial Institutions	Sec. 165D
12/1/2011	12/30/2011	<b>FRB</b>	Final Rule	Capital Plans.	Banking; Systemically Important Financial Institutions	Sec. 165i
6/28/2011	7/28/2011	<b>FDIC, FRB, OCC</b>	Final Rule	Final rule amending risk-based capital adequacy standards.	Bank Capital	Sec. 171
5/4/2011	4/28/2011	<b>FDIC</b>	Final Rule	<i>Establishment of the FDIC Systemic Resolution Advisory Committee.</i>	Systemically Important Financial Institutions	Sec. 201 et seq.
7/19/2011	N/A	<b>GAO</b>	Study	Bankruptcy: Complex Financial Institutions and International Coordination Pose Challenges.	Banking; Capital Requirements	Sec. 202
6/24/2011	N/A	<b>GAO</b>	Report	Bank Regulation: Modified Prompt Corrective Action Framework Would Improve Effectiveness.	Banking; Capital Requirements	Sec. 202
7/15/2011	8/15/2011	<b>FDIC</b>	Final Rule	Final rule on certain orderly liquidation authority provisions.	Living Wills; Resolution Authority; Systemically Important Financial Institutions	Sec. 209
6/29/2011	8/29/2011	<b>SEC</b>	Final Rule	Final rule defining "family office."	Investor Protection	Sec. 209
7/13/2011	N/A	<b>GAO</b>	Study	Regulators Will Need More Comprehensive Information to Fully Monitor Compliance with New Restrictions When Implemented.	Agency Administration	Sec. 215
7/2011	N/A	<b>GAO</b>	Study	Study on the Resolution of Financial Companies under the Bankruptcy Code.	Banking; Bankruptcy	Sec. 216
7/2011	N/A	<b>FRB</b>	Study	Study on International Coordination Relating to Bankruptcy Process for Nonbank Financial Institutions.	Banking; Bankruptcy	Sec. 217
7/6/2011	7/21/2011	<b>FDIC, OCC</b>	Final Rule	List of OTS regulations to be enforced by the OCC and FDIC upon the DFA transfer date.	Thrifts	Sec. 312, 316
2/1/2011	N/A	<b>FDIC, FRB, OCC, OTS</b>	Report	Joint Implementation Plan on Sections 301-326 of the Dodd-Frank Act.	Transfer of Functions	Sec. 327
2/25/2011	4/1/2011	<b>FDIC</b>	Final Rule	Final rules regarding the assessment base and rates, large institutions assessment system, and deposit insurance fund dividends.	Deposit Insurance Reform	Sec. 331, 332, 334
9/19/2011	N/A	<b>FDIC</b>	Final Rule	<i>Assessment Rate Adjustment Guidelines for Large and Highly Complex Institutions.</i>	Banking	Sec. 332
5/25/2011	6/24/2011	<b>NCUA</b>	Final Rule	Final rule revising Part 745; Share Insurance and Appendix.	Deposit Insurance Reform	Sec. 343

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8/13/2010	8/13/2010	<b>FDIC</b>	Final Rule	Increase in standard maximum deposit insurance amount (SMDIA).	Deposit Insurance Reform	Sec. 335
9/2/2010	9/2/2010	<b>NCUA</b>	Final Rule	Increase standard maximum share insurance amount (SMSIA) applicable to credit union accounts.	Deposit Insurance Reform	Sec. 335
7/6/2011	7/21/2011	<b>SEC</b>	Final Rule	Final rule providing exemptions from registration requirements for advisers to venture capital funds, private fund advisers with less than \$150 million in assets, and foreign private advisers.	Investor Protection	Sec. 403, 409, 419
11/16/2011	3/31/2012	<b>CFTC, SEC</b>	Final Rule	Reporting by Investment Advisers to Private Funds and Certain Commodity Pool Operators and Commodity Trading Advisors on Form PF.	Hedge Funds & Private Equity; Investment Advisors	Sec. 404, 406
12/29/2011	2/27/2012	<b>SEC</b>	Final Rule	Net Worth Standards for Accredited Investors.	Investor Standards	Sec. 413
7/08/2011	N/A	<b>FDIC</b>	Study	Study on Core Deposits and Brokered Deposits.	Brokers & Dealers	Sec. 619
1/18/2011	N/A	<b>FSOC</b>	Study	Study and Recommendations on Prohibitions on Proprietary Trading & Certain Relationships With Hedge Funds and Private Equity Funds.	Volcker Rule; Hedge Funds & Private Equity	Sec. 619
1/18/2011	N/A	<b>FSOC</b>	Study	Study and Recommendations Regarding Concentration Limits on Large Financial Companies (FSOC Release).	Systemic Risk	Sec. 622
7/18/2011	7/21/2011	<b>FRB</b>	Final Rule	Final rule repealing Regulation Q, prohibition against payment of interest on demand deposits.	Safety and Soundness	Sec. 627
7/14/2011	7/21/2011	<b>FDIC</b>	Final Rule	Final rule rescinding regulations that implemented the statutory prohibition against the payment of interest on demand deposits.	Deposit Insurance Reform	Sec. 627
7/19/2011	7/14/2011	<b>CFTC</b>	Final Rule	<i>Final order on temporary exemption for swaps, swap dealers, major swap participants, eligible swap participants, and certain transactions in exempt commodities.</i>	Derivatives Markets and Products	Sec. 701 et seq.
9/12/2011	9/12/2011	<b>SEC</b>	Final Rule	Amendments to Include New Applicant Types on Form ID.	Derivatives Markets and Products	Sec. 712
12/23/2011	12/23/2011	<b>CFTC</b>	Final Rule	<i>Amendment to July 14, 2011 Order for Swap Regulation.</i>	Derivatives Markets and Products	Sec. 712
4/8/2011	N/A	<b>CFTC, SEC</b>	Study	Joint Study on the Feasibility of Mandating Algorithmic Descriptions for Derivatives.	Derivatives	Sec. 719
2/2/2011	4/4/2011	<b>SEC</b>	Final Rule	Shareholder approval of executive compensation and golden parachutes.	Executive Compensation	Sec. 721, 723, 733, 735
7/13/2011	9/12/2011	<b>CFTC</b>	Final Rule	Final rule defining agricultural commodity.	Derivatives Markets and Products	Sec. 723

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Publication Date	Effective Date	Agency	Action Type	Description	Topics	DFA Reference
7/26/2011	9/26/2011	<b>CFTC</b>	Final Rule	Process for Review of Swaps for Mandatory Clearing.	Investor Protection	Sec. 723
8/10/2011	9/26/2011	<b>CFTC</b>	Final Rule	Agricultural Swaps.	Derivatives Markets and Products	Sec. 723
11/8/2011	1/9/2012	<b>CFTC</b>	Final Rule	Derivatives Clearing Organization General Provisions and Core Principles.	Derivatives Markets and Products	Sec. 725C
9/01/2011	10/31/2011	<b>CFTC</b>	Final Rule	Swap Data Repositories: Registration Standards, Duties and Core Principles.	Derivatives Markets and Products	Sec. 728
7/22/2011	9/20/2011	<b>CFTC</b>	Final Rule	Large Trader Reporting for Physical Commodity Swaps.	Derivatives Markets and Products	Sec. 737
11/18/2011	1/17/2012	<b>CFTC</b>	Final Rule	Position Limits for Futures and Swaps.	Derivatives Markets and Products	Sec. 737
12/23/2011	2/21/2012	<b>CFTC</b>	Final Rule	Registration of Foreign Boards of Trade.	Hedge Funds & Private Equity; Investment Advisors; Investor Protection	Sec. 738
9/12/2011	9/12/2011	<b>CFTC</b>	Final Rule	Retail Foreign Exchange Transactions; Conforming Changes to Existing Regulations in Response to the Dodd-Frank Wall Street Reform and Consumer Protection Act.	Derivatives Markets and Products	Sec. 742
7/12/2011	7/15/2011	<b>FDIC</b>	Final Rule	Final rule providing requirements for foreign currency futures, options on futures, and options an insured institution engages in with retail customers.	Derivatives Markets and Products	Sec. 742
7/14/2011	7/15/2011	<b>OCC</b>	Final Rule	Final rule on retail foreign exchange transactions.	Derivatives Markets and Products	Sec. 742
7/27/2011	9/26/2011	<b>CFTC</b>	Final Rule	Provisions Common to Registered Entities.	Derivatives Markets and Products	Sec. 745
8/25/2011	10/24/2011	<b>CFTC</b>	Final Rule	Whistleblower Incentives and Protection.	Investor Protection	Sec. 748
1/19/2011	N/A	<b>CFTC</b>	Study	Report on the Oversight of Existing and Prospective Carbon Markets.	Derivatives; Energy	Sec. 750
7/14/2011	8/15/2011	<b>CFTC</b>	Final Rule	Final rules to implement new anti-manipulation authority in swap markets.	Investor Protection	Sec. 753
6/14/2011	7/16/2011	<b>SEC</b>	Final Rule	Final rule on beneficial ownership reporting requirements and security-based swaps.	Derivatives Markets and Products	Sec. 766
7/21/2011	N/A	<b>CFTC, SEC, FRB</b>	Study	Risk Management Supervision of Designated Clearing Entities.	Investor Protection	Sec. 813
9/10/2010	10/18/2010	<b>CFTC</b>	Final Rule	New regulations establishing standards for off-exchange retail foreign exchange transactions and intermediaries.	Derivatives Markets and Product	Sec. 742

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7/27/2011	8/26/2011	<b>FSOC</b>	Final Rule	Authority to Designate Financial Market Utilities as Systemically Important.	Banking; Systemically Important Financial Institutions	Sec. 804
1/22/2011	N/A	<b>SEC</b>	Study	Study on Investment Advisers and Broker-Dealers.	Investor Protection	Sec. 913
1/19/2011	N/A	<b>SEC</b>	Study	Study on Enhancing Investment Adviser Examinations.	Investment Advisers	Sec. 914
7/2011	N/A	<b>GAO</b>	Report	Mutual Fund Advertising: Improving How Regulators Communicate New Rule Interpretations to Industry Would Further Protect Investors.	Investor Advisors; Investor Protection	Sec. 918
1/26/2011	N/A	<b>SEC</b>	Study	Study and Recommendations on Improved Investor Access to Registration Information About Investment Advisers and Broker-Dealers.	Investment Advisers; Brokers & Dealers; Investor Protection	Sec. 919B
1/19/2011	N/A	<b>GAO</b>	Report	Regulatory Coverage Generally Exists for Financial Planners, but Consumer Protection Issues Remain.	Consumer Protection	Sec. 919C
6/13/2011	8/12/2011	<b>SEC</b>	Final Rule	Final rule implementing whistleblower incentives and protection provisions.	Investor Protection	Sec. 922
10/2010	N/A	<b>SEC</b>	Report	Annual Report on Whistleblower Program.	Whistleblowers	Sec. 922
7/21/2011	N/A	<b>GAO</b>	Report	Securities Fraud Liability of Secondary Actors.	Securities; Investor Protection	Sec. 929Z
9/30/2011	N/A	<b>SEC</b>	Report	2011 Summary Report of Commission Staff's Examinations of Each Nationally Recognized Statistical Rating Organization.	Investor Protection	Sec. 932
7/25/2011	9/23/2011	<b>CFTC</b>	Final Rule	Removing Any Reference to or Reliance on Credit Ratings in Commission Regulations; Proposing Alternatives to the Use of Credit Ratings.	Investor Protection	Sec. 939A
7/2011	N/A	<b>FRB</b>	Report	Report to the Congress on Credit Ratings.	Mortgage Reform; Credit Ratings	Sec. 939A
8/03/2011	9/2/2011; 12/31/2012	<b>SEC</b>	Final Rule	Security Ratings.	Investor Protection	Sec. 939A
12/19/11	2/17/2012	<b>CFTC</b>	Final Rule	Investment of Customer Funds and Funds Held in an Account for Foreign Futures and Foreign Options Transactions.	Hedge Funds & Private Equity; Investment Advisers; Investor Protection	Sec. 939A
7/21/2011	N/A	<b>SEC</b>	Study	Report on Review of Reliance on Credit Ratings.	Credit Ratings	Sec. 939A(c)
10/4/2010	10/4/2010	<b>SEC</b>	Final Rule	Removal from regulation FD of the exemption for disclosures made to credit rating agencies for the purpose of determining a credit rating.	Securitization	Sec. 939B
1/18/2011	N/A	<b>FSOC</b>	Study	Macroeconomic Effects of Risk Retention Requirements.	Asset-Backed Securities	Sec. 941 Sec. 946

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1/18/2011	N/A	<b>FSOC</b>	Study	Macroeconomic Effects of Risk Retention Requirements.	Asset-Backed Securities	Sec. 941 Sec. 946
8/23/2011	9/22/2011	<b>SEC</b>	Final Rule	Suspension of the Duty to File Reports for Classes of Asset-Backed Securities Under Section 15(D) of the Securities Exchange Act of 1934.	Hedge Funds & Private Equity; Investment Advisers	Sec. 942
10/19/2010	N/A	<b>FRB</b>	Report	Report to Congress on Risk Retention.	Asset-Backed Securities	Sec. 941
12/21/2010	N/A	<b>SEC</b>	Report	Report and Certification of Internal Supervisory Controls	Agency Administration	Sec. 961
6/29/2011	N/A	<b>SEC</b>	Report (OIG)	Oversight of and Compliance With Conditions and Representations Related to Exemptive Orders and No-Action Letters.	Agency Administration	Sec. 965
3/10/2011	N/A	<b>SEC</b>	Study	U.S. Securities and Exchange Commission Organizational Study and Reform.	Agency Administration	Sec. 967
9/09/2011	N/A	<b>SEC</b>	Report	Report on the Implementation of SEC Organizational Reform Recommendations.	Agency Administration	Sec. 967
9/09/2011	9/09/2011	<b>SEC</b>	Final Rule	Amendments to Include New Applicant Types on Form ID.	Hedge Funds & Private Equity; Investment Advisers	Sec. 975
1/19/2011	N/A	<b>GAO</b>	Report	Dodd-Frank Act: Role of the Governmental Accounting Standards Board in the Municipal Securities Markets and Its Past Funding.	Municipal Securities	Sec. 978
5/16/2011	5/16/2011	<b>SEC</b>	Final Rule	Order directing funding for the Governmental Accounting Standards Board.	Derivatives Markets and Products	Sec. 978
7/07/2011	N/A	<b>GAO</b>	Study	New Regulatory Challenges Could Emerge as the Industry Grows.	Agency Administration	Sec. 989F
9/21/2010	9/21/2010	<b>SEC</b>	Final Rule	Final rule provides that any accounting firm preparing an audit report for an issuer that is a non-accelerated filer will not be required to attest to, and report on, the internal control assessment made by the issuer's management.	Corporate Governance	Sec. 989G
4/22/2011	N/A	<b>SEC</b>	Study	Study and Recommendations on Section 404(b) of the Sarbanes-Oxley Act of 2002 for Issuers With Public Float Between \$75 and \$250 Million.	Accounting & Auditing	Sec. 989G
6/28/2011	N/A	<b>GAO</b>	Report	Financial Literacy: A Federal Certification Process for Providers Would Pose Challenges.	Consumer Protection; Mortgage Reform	Sec. 1013
11/17/2011	N/A	<b>FRB, FDIC, OCC, CFPB, NCUA</b>	Final Rule	Supervisory Statement Determination of Depository Institution and Credit Union Asset Size For Purposes of Sections 1025 and 1026 of the Dodd-Frank Wall Street Reform and Consumer Protection Act	Banking; Systemically Important Financial Institutions	Sec. 1025B, 1026B
9/20/2010	7/21/2011	<b>CFPB</b>	Final Rule	Designated transfer date for transfer of functions to the Bureau of Consumer Financial Protection.	Consumer Protection; Transfer & Functions	Sec. 1062

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4/4/2011	7/21/2011	FRB	Final Rule	Final rule amending Regulation M to exempt certain consumer credit transactions in which the amount financed exceeds \$50,000.	Consumer Credit	Sec. 1062, 1100H
4/4/2011	7/21/2011	FRB	Final Rule	Final rule amending Regulation Z to exempt certain consumer credit transactions in which the amount financed exceeds \$50,000.	Mortgage Reform	Sec. 1062, 1100H
7/2011	N/A	FRB	Report	Report to the Congress on the Use of the Automated Clearinghouse System for Remittance Transfers to Foreign Countries.	Remittance Transfers	Sec. 1073
7/20/2011	N/A	CFPB	Report	Report on Remittance Transfers.	Remittance Transfers	Sec. 1073
11/30/11	11/30/2011	NCUA	Final Rule	Remittance Transfers.	Remittance Transfers	Sec. 1073
6/29/2011	N/A	FRB	Report	2009 Interchange Revenue, Covered Issuer Cost, and Covered Issuer and Merchant Fraud Loss Related to Debit Card Transactions.	Banking; Fees & Charges	Sec. 1075
7/18/2011	N/A	FSOC	Report	Report to the Congress on Secured Creditor Haircuts.	Consumer Protection	Sec. 1078
7/19/2011	N/A	CFPB	Report	The Impact of Differences Between Consumer-and-Creditor Purchased Credit Scores.	Consumer Protection; Credit Rating	Sec. 1078
7/22/2011	9/20/2011	CFTC	Final Rule	Business Affiliate Marketing and Disposal of Consumer Information Rules.	Consumer Protection	Sec. 1088
7/22/2011	9/20/2011	CFTC	Final Rule	Privacy of Consumer Financial Information; Conforming Amendments Under Dodd-Frank Act.	Consumer Protection	Sec. 1093
7/2011	N/A	GAO	Report	Federal Reserve System: Opportunities Exist to Strengthen Policies and Processes for Managing Emergency Assistance.	Agency Administration	Sec. 1109
6/20/2011	1/1/2012	FRB	Final Rule	Final rule increasing the threshold for exempt consumer credit transactions to \$51,800.	Consumer Credit	Sec. 1100E
6/20/2011	1/1/2012	FRB	Final Rule	Final rule increasing the threshold for exempt consumer leases to \$51,800.	Consumer Protection	Sec. 1100E
7/15/2011	8/15/2011	FRB, FTC	Final Rule	Final rule on risk-based pricing rules under the Fair and Accurate Credit Transactions Act.	Consumer Credit	Sec. 1100F
7/15/2011	8/15/2011	FRB	Final Rule	Final rule issuing revised model adverse action notices in Regulation B, Equal Credit Opportunity.	Consumer Credit	Sec. 1100F
1/12/2011	N/A	GAO	Report	Status of Programs and Implementation of GAO Recommendations.	TARP	Sec. 1302
7/19/2011	N/A	GAO	Study	Mortgage Reform: Potential Impacts of Provisions in the Dodd-Frank Act on Homebuyers and the Mortgage Market.	Mortgage Reform	Sec. 1421
3/2/2011	4/1/2011	FRB	Final Rule	Final rule providing a separate, higher threshold for determining coverage of the escrow requirement applicable to higher-priced mortgage loans under Regulation Z, Truth in Lending.	Mortgage Reform	Sec. 1461

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10/19/2010	N/A	GAO	Report	Status of Study Concerning Appraisal Methods and the Home Valuation Code of Conduct (GAO Release).	Mortgage Reform	Sec. 1476
9/2011	N/A	GAO	Report	Inspectors General: Reporting on Independence, Effectiveness, and Expertise.	Agency Administration	Sec. 1505
12/28/2011	1/27/2012	SEC	Final Rule	Mine Safety Disclosure.	Miscellaneous Provisions	Sec. 1503A
3/18/2011	N/A	FRB	Report	Comprehensive Capital Analysis and Review: Objectives and Overview.	Capital Requirements	Title I
4/18/2011	N/A	FDIC	Report	The Orderly Liquidation of Lehman Brothers Holdings Inc. under the Dodd-Frank Act.	Systemic Risk	Title II
3/21/2011	N/A	GAO	Report	Federal Deposit Insurance Corporation Funds' 2010 and 2009 Financial Statements.	Agency Administration	Title III
3/25/2011	N/A	GAO	Report	Consumer Costs for Debt Protection Products can be Substantial Relative to Benefits but are Not a Focus of Regulatory Oversight.	Consumer Protection	Title X
5/2/2011	N/A	FHFA	Report (OIG)	Risk Assessment - March 2011.	Mortgage Reform	Title XIV
3/31/2011	N/A	FHFA	Report (OIG)	Federal Housing Finance Agency's Exit Strategy and Planning Process for the Enterprises' Structural Reform.	Mortgage Reform	Title XIV
3/31/2011	N/A	FHFA	Report (OIG)	Evaluation of Federal Housing Finance Agency's Oversight of Fannie Mae's and Freddie Mac's Executive Compensation Programs.	Compensation; Mortgage Reform	Title XIV
5/5/2011	N/A	GAO	Report	Mortgage Foreclosures: Documentation Problems Reveal Need for Ongoing Regulatory Oversight.	Mortgage Reform	Title XIV
4/27/2011	6/15/2011	FCA	Final Rule	Federal Agricultural Mortgage Corporation Governance and Federal Agricultural Mortgage Corporation Funding and Fiscal Affairs; Risk-Based Capital Requirements.	Agriculture; Capital Requirements; Credit Ratings	
9/30/2010	9/30/2010	FDIC	Final Rule	Treatment by the Federal Deposit Insurance Corporation as Conservator or Receiver of Financial Assets, etc.	Banking; Asset-Backed Securities	
11/15/2010	12/31/2010	FDIC	Final Rule	Final rule on deposit insurance coverage for noninterest bearing transaction accounts.	Deposit Insurance Reform	
12/20/2010	1/1/2011	FDIC	Final Rule	Designated reserve ratio for the Deposit Insurance Fund.	Deposit Insurance Reform	
1/27/2011	1/27/2011	FDIC	Final Rule	Final rule amending deposit insurance regulations to allow unlimited coverage for IOLTAs.	Deposit Insurance Reform	
7/21/2011	7/21/2011	CFPB	Final Rule	Identification of Enforceable Rules and Orders.	Consumer Protection; Transfer of Functions	

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4/4/2011	5/4/2011	<b>FHFA</b>	Final Rule	Federal Home Loan Bank Liabilities.	Banking; Mortgage Reform; Credit Ratings	
12/28/2010	1/27/2011	<b>FHFA</b>	Final Rule	Minority and Women Inclusion.	Agency Administration	
5/20/2011	6/20/2011	<b>FHFA</b>	Final Rule	<i>Federal Home Loan Bank Investments.</i>	Credit Ratings; Mortgage Reform	
4/4/2011	5/4/2011	<b>FHFA</b>	Final Rule	Federal Home Loan Bank Liabilities.	Banking; Mortgage Reform; Credit Ratings	
12/28/2010	1/27/2011	<b>FHFA</b>	Final Rule	Minority and Women Inclusion.	Agency Administration	
5/20/2011	6/20/2011	<b>FHFA</b>	Final Rule	<i>Federal Home Loan Bank Investments.</i>	Credit Ratings; Mortgage Reform	
2/14/2011	4/1/2011	<b>FRB</b>	Final Rule	Final rule on conformance period for prohibited proprietary trading, private equity fund or hedge fund	Proprietary Trading by Bank	
6/21/2011	6/21/2011	<b>FRB</b>	Final Rule	<i>Capital Adequacy Guidelines; Small Bank Holding Company Policy Statement: Treatment of Subordinated Securities Issued to the United States Treasury Under the Emergency Economic Stabilization Act of 2008 and the Small Business Jobs Act of 2010.</i>	Banking; Capital Requirements; Liquidity Provisioning	
3/4/2011	4/4/2011	<b>HUD</b>	Final Rule	Emergency Homeowners Loan Program.	Mortgage Reform; Insurance	
6/30/2011	8/29/2011	<b>HUD</b>	Final Rule	SAFE Mortgage Licensing Act: Minimum Licensing Standards and Oversight Responsibilities.	Mortgage Reform; Transfer of Functions	
9/24/2010	10/25/2010	<b>NCUA</b>	Final Rule	Short-Term, Small Amount Loans.	Banking	
10/20/2010	1/18/2011, 10/20/2011	<b>NCUA</b>	Final Rule	Corporate Credit Unions.	Banking; Capital Requirements	
9/16/2010	11/15/2010	<b>SEC</b>	Final Rule	Facilitating Shareholder Director Nominations.	Corporate Governance	
9/21/2010	9/21/2010	<b>SEC</b>	Final Rule	Rescission of Rules Pertaining to the Payment of Bounties for Information Leading to the Recovery of Civil Penalties for Insider Trading.	Enforcement & Remedies; Whistleblowers	
10/1/2010	10/1/2010	<b>SEC</b>	Final Rule	Commission guidance regarding auditing, attestation, and related professional practice standards for brokers and dealers.	Corporate Governance	
10/12/2010	10/12/2010	<b>SEC</b>	Final Rule	Delegation of Authority to the Director of the Division of Trading and Markets.	Agency Administration; SROs	
11/26/2010	11/26/2010	<b>SEC</b>	Final Rule	Extension of expiration dates of temporary exemptions for eligible credit default swaps.	Derivatives Markets and Products	

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12/22/2010	12/31/2010	SEC	Final Rule	Extension of Filing Accommodation for Static Pool Information in Filings With Respect to Asset-Backed Securities.	Asset-Backed Securities	
1/18/2011	1/18/2011	SEC	Final Rule	Delegation of Authority to the Chief Accountant.	Agency Administration	
1/24/2011	1/24/2011	SEC	Final Rule	Final rule for the handling of proposed rule changes submitted by self-regulatory organizations (SROs).	Derivatives Markets and Products	
1/25/2011	3/28/2011	SEC	Final Rule	Final rule requiring issuers of asset-backed securities to review the assets underlying each ABS and to disclose the nature of the review and findings.	Securitization	
1/26/2011	3/28/2011	SEC	Final Rule	Final rule on representations and warranties in asset-backed securities offerings.	Investor Protection; Securitization	
7/19/2011	9/19/2011		Final Rule	Rules Implementing Amendments to the Investment Advisers Act of 1940.	Hedge Funds & Private Equity; Investment Advisers	
7/20/2011	7/20/2011		Final Rule	Regulation Z; Truth in Lending.	Consumer Protection; Mortgage Reform	
7/20/2011	10/1/2011		Final Rule	Debit Card Interchange Fees and Routing.	Banking; Fees & Charges	
7/21/2011	7/21/2011, 7/21/2012, 7/21/2013	TREASURY	Final Rule	Office of Thrift Supervision Integration; Dodd-Frank Act Implementation.	Banking; Fees & Charges; Transfer of Functions	
1/28/2011	2/28/2011	FSA	Final Rule	Farm Loan Programs.	Banking; Agriculture	
12/1/2010	12/29/2010	FTC	Final Rule	Mortgage Assistance Relief Services.	Mortgage Reform; Consumer Protection	
7/7/2011	7/7/2011	SEC	Final Rule	<i>Delegation of Authority to the Director of Its Division of Enforcement.</i>	Agency Administration; Whistleblowers	
7/11/2011	8/10/2011	SEC	Final Rule	<i>Real Estate Settlement Procedures Act (RESPA): Technical Corrections and Clarifying Amendments.</i>	Consumer Protection; Mortgage Reform	