

Final Studies & Reports

*As of December 31, 2011

Release Date	Agency	Action Type	Title	Topics	DFA Reference
10/19/2010	GAO	Report	Status of Study Concerning Appraisal Methods and the Home Valuation Code of Conduct.	Mortgage Reform	Sec. 1476
10/19/2010	FRB	Report	Report to Congress on Risk Retention.	Asset-Backed Securities	Sec. 941
1/12/2011	GAO	Report	Status of Programs and Implementation of GAO Recommendations.	TARP	Sec. 1302
1/18/2011	FSOC	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	FSOC	Study	Macroeconomic Effects of Risk Retention Requirements.	Asset-Backed Securities	Sec. 941 Sec. 946
1/18/2011	FSOC	Study	Study and Recommendations Regarding Concentration Limits on Large Financial Companies.	Systemic Risk	Sec. 622
1/19/2011	SEC	Study	Study on Enhancing Investment Adviser Examinations.	Investment Advisers	Sec. 914
1/19/2011	GAO	Report	Dodd-Frank Act: Role of the Governmental Accounting Standards Board in the Municipal Securities Markets and Its Past Funding.	Municipal Securities	Sec. 978
1/19/2011	GAO	Report	Regulatory Coverage Generally Exists for Financial Planners, but Consumer Protection Issues Remain.	Consumer Protection	Sec. 919C
1/19/2011	CFTC	Study	Report on the Oversight of Existing and Prospective Carbon Markets.	Derivatives; Energy	Sec. 750
1/22/2011	SEC	Study	Study on Investment Advisers and Broker-Dealers.	Investor Protection	Sec. 913
1/26/2011	SEC	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
2/1/2011	FDIC, FRB, OCC, OTS	Report	Joint Implementation Plan on Sections 301-326 of the Dodd-Frank Act.	Transfer of Functions	Sec. 327
3/10/2011	SEC	Study	U.S. Securities and Exchange Commission Organizational Study and Reform.	Agency Administration	Sec. 967
3/18/2011	FRB	Report	Comprehensive Capital Analysis and Review: Objectives and Overview.	Capital Requirements	Title I
3/21/2011	GAO	Report	Federal Deposit Insurance Corporation Funds' 2010 and 2009 Financial Statements.	Agency Administration	Title III

Final Studies & Reports (continued)

*As of December 31, 2011

Release Date	Agency	Action Type	Title	Topics	DFA Reference
3/25/2011	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
3/31/2011	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
3/31/2011	FHFA	Report (OIG)	Federal Housing Finance Agency's Exit Strategy and Planning Process for the Enterprises' Structural Reform.	Mortgage Reform	Title XIV
4/8/2011	CFTC, SEC	Study	Joint Study on the Feasibility of Mandating Algorithmic Descriptions for Derivatives.	Derivatives	Sec. 719
4/18/2011	FDIC	Report	The Orderly Liquidation of Lehman Brothers Holdings Inc. under the Dodd-Frank Act.	Systemic Risk	Title II
4/22/2011	SEC	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
5/2/2011	FHFA	Report (OIG)	Risk Assessment - March 2011.	Mortgage Reform	Title XIV
5/5/2011	GAO	Report	Mortgage Foreclosures: Documentation Problems Reveal Need for Ongoing Regulatory Oversight.	Mortgage Reform	Title XIV
6/24/2011	GAO	Report	Bank Regulation: Modified Prompt Corrective Action Framework Would Improve Effectiveness.	Banking; Capital Requirements	Sec. 202
6/28/2011	GAO	Report	Financial Literacy: A Federal Certification Process for Providers Would Pose Challenges.	Consumer Protection; Mortgage Reform	Sec. 1013
6/28/2011	GAO	Report	Financial Literacy: A Federal Certification Process for Providers Would Pose Challenges.	Consumer Protection; Mortgage Reform	Sec. 1013
6/29/2011	SEC	Report (OIG)	Oversight of and Compliance With Conditions and Representations Related to Exemptive Orders and No-Action Letters.	Agency Administration	Sec. 965
6/29/2011	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
7/2011	GAO	Report	Federal Reserve System: Opportunities Exist to Strengthen Policies and Processes for Managing Emergency Assistance.	Agency Administration	Sec. 1109
7/2011	FRB	Report	Report to the Congress on Credit Ratings.	Mortgage Reform; Credit Ratings	Sec. 939A
7/2011	GAO	Report	Mutual Fund Advertising: Improving How Regulators Communicate New Rule Interpretations to Industry Would Further Protect Investors.	Investor Advisors; Investor Protection	Sec. 918
7/2011	FRB	Study	Study on International Coordination Relating to Bankruptcy Process for Nonbank Financial Institutions.	Banking; Bankruptcy	Sec. 217

Final Studies & Reports (continued)

*As of December 31, 2011

Release Date	Agency	Action Type	Title	Topics	DFA Reference
7/2011	GAO	Study	Study on the Resolution of Financial Companies under the Bankruptcy Code.	Banking; Bankruptcy	Sec. 216
7/2011	FRB	Report	Report to the Congress on the Use of the Automated Clearinghouse System for Remittance Transfers to Foreign Countries.	Remittance Transfers	Sec. 1073
7/07/2011	GAO	Study	New Regulatory Challenges Could Emerge as the Industry Grows.	Agency Administration	Sec. 989F
7/08/2011	FDIC	Study	Study on Core Deposits and Brokered Deposits.	Brokers & Dealers	Sec. 619
7/13/2011	GAO	Study	Regulators Will Need More Comprehensive Information to Fully Monitor Compliance with New Restrictions When Implemented.	Agency Administration	Sec. 215
7/18/2011	FSOC	Report	Report to the Congress on Secured Creditor Haircuts.	Consumer Protection	Sec. 1078
7/19/2011	CFPB	Report	The Impact of Differences Between Consumer-and-Creditor Purchased Credit Scores.	Consumer Protection; Credit Rating	Sec. 1078
7/19/2011	GAO	Study	Mortgage Reform: Potential Impacts of Provisions in the Dodd-Frank Act on Homebuyers and the Mortgage Market.	Mortgage Reform	Sec. 1421
7/19/2011	GAO	Study	Bankruptcy: Complex Financial Institutions and International Coordination Pose Challenges.	Banking; Capital Requirements	Sec. 202
7/20/2011	CFPB	Report	Report on Remittance Transfers.	Remittance Transfers	Sec. 1073
7/21/2011	SEC	Study	Report on Review of Reliance on Credit Ratings.	Credit Ratings	Sec. 939A(c)
7/21/2011	CFTC, SEC, FRB	Study	Risk Management Supervision of Designated Clearing Entities.	Investor Protection	Sec. 813
7/21/2011	GAO	Report	Securities Fraud Liability of Secondary Actors.	Securities; Investor Protection	Sec. 929Z
7/26/2011	FSOC	Report	FSOC 2011 Annual Report.	Agency Administration	Sec. 112
9/2011	GAO	Report	Inspectors General: Reporting on Independence, Effectiveness, and Expertise.	Agency Administration	Sec. 1505
9/09/2011	SEC	Report	Report on the Implementation of SEC Organizational Reform Recommendations.	Agency Administration	Sec. 967
9/30/2011	SEC	Report	2011 Summary Report of Commission Staff's Examinations of Each Nationally Recognized Statistical Rating Organization.	Investor Protection	Sec. 932
10/19/2011	GAO	Report	FEDERAL RESERVE BANK GOVERNANCE Opportunities Exist to Broaden Director Recruitment Efforts and Increase Transparency.	Banking; Transparency	Sec. 1109A, 1109B
12/23/2011	FSOC	Report	Report to the Congress on Prompt Corrective Action.	Agency Administration	Sec. 202(g)(4)