



Regulatory & Compliance Update

April 2026

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Hot Topics

- FINRA Launches the Financial Intelligence Fusion Center (FIFC) ➤
- Application of the Federal Securities Laws to Certain Types of Crypto Assets and Certain Transactions Involving Crypto Assets ➤
- SEC and CFTC Announce Historic Memorandum of Understanding Between Agencies ➤
- SEC Obtains Final Consent Judgment as to Massachusetts Investment Adviser for Alleged Failure to Disclose Conflicts ➤

Reminder

The **Form 13F** quarterly filing is due to the SEC within 45 days after the end of the calendar quarter. In general, your firm may need to file a Form 13F via the SEC's EDGAR system if it has discretion over \$100,000,000 in "Section 13(f) Securities." An official list of Section 13(f) Securities is published by the SEC on a quarterly basis, but in general the list includes exchange or NASDAQ traded equity stocks, equity options and warrants, closed-end fund shares, and certain convertible debt securities. If you have never filed via EDGAR, you will need to obtain a Central Index Key (CIK) number and EDGAR access codes. RRS is available to assist with this regulatory filing and related questions.

RRS' Virtual RFP is a Secure and Confidential Way to get Insight and Pricing on our Wide Range of Services!

Submit your inquiry online from anywhere at any time to schedule a call with one of our team.

[Click Here for More Information](#)



Team Spotlight!

John Ryan Greenbaum configures, audits, and maintains the technology systems and networking infrastructure as the IT Administrator for Renaissance Regulatory Services. After spending many years rehabilitating from a near-fatal motorcycle accident in which he permanently lost the use of his right arm, he returned focus to his education and became a 2014 graduate of Florida Atlantic University. In early 2017, John Ryan joined the RRS team to provide computing support. His responsibilities include SharePoint development, network security and risk management, cloud migration, business automation, and computer configuration and troubleshooting. He is currently studying for the Microsoft 365 associate exams in preparation for earning the Microsoft 365 Certified: Enterprise Administrator Expert certification. John Ryan can be reached by phone at our Deerfield Beach office at 561-368-2245 and by email at JohnGreenbaum@RRSCompliance.com.



JOHN RYAN GREENBAUM

A p r i l

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
			1 • Blue Sky Filings are Due Within 15 Days of Sale	2 • FINRA 3130 Certification • SLS Filings Due	3	4
5	6	7	8	9	10	11
12	13	14	15 • FINRA 4530 Complaint Filing	16	17	18
19	20	21	22	23 • FOCUS Part II/IIA Quarterly Filings Due • Form Custody Filings Due	24	25
26	27	28 • SIS Filings Due • SSOI Filings Due	29	30 • Form OBS Filings Due • ADV offer/delivery due (12/31 FYE) • Form PF (existing version)		

M A Y	May 1 <ul style="list-style-type: none"> • Annual Reports Due • Deadline for Comments on Regulatory Notice 26-06 	May 4 <ul style="list-style-type: none"> • SLS Filings Due 	May 15 <ul style="list-style-type: none"> • 13F Q1 Filing Due 	May 26 <ul style="list-style-type: none"> • FOCUS Part II/IIA - Monthly Filings Due 	May 29 <ul style="list-style-type: none"> • Annual Reports Due • SIS Filings Due
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Click below to view full calendar

[RRS Compliance Calendar](#)



SEC

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Investor Alerts and Bulletins

- [\(03/31/2026\)](#) Investor.gov Tips for 2026 – Investor Bulletin [\(Link\)](#)

SEC Final Rules

- [\(03/16/2026\)](#) Publication or Submission of Quotations Without Specified Information [\(Link\)](#)
- [\(03/16/2026\)](#) Adoption of Updated EDGAR Filer Manual [\(Link\)](#)
- [\(03/17/2026\)](#) Application of the Federal Securities Laws to Certain Types of Crypto Assets and Certain Transactions Involving Crypto Assets [\(Link\)](#)

SEC Upcoming Events

- [\(03/04/2026\)](#) Private Markets Roundtable [\(Link\)](#)
- [\(03/09/2026\)](#) 45th Annual Small Business Forum [\(Link\)](#)

SEC No Action Letters

- [\(03/13/2026\)](#) Wedbush Securities Inc. [\(Link\)](#)
- [\(03/13/2026\)](#) Tower Semiconductor Ltd. [\(Link\)](#)
- [\(03/23/2026\)](#) Ally Financial Inc. - Waiver Request of Ineligible Issuer Status under Rule 405 of the Securities Act of 1933 [\(Link\)](#)
- [\(03/17/2026\)](#) Request for Relief regarding Rules 15c1-5 and 15c1-6 under the Securities Exchange Act of 1934 for Multi-Class ETFs [\(Link\)](#)
- [\(03/17/2026\)](#) Order Under Section 36 of the Securities Exchange Act of 1934 (the “Exchange Act”) Granting Conditional Exemptive Relief from Rules 10b-10, 14e-5, and Section 11(d)(1) of the Exchange Act for Multi-Class ETFs [\(Link\)](#)
- [\(03/19/2026\)](#) Cboe EDGX Exchange, Inc. [\(Link\)](#)
- [\(03/24/2026\)](#) Pentalpha Capital LLC [\(Link\)](#)
- [\(03/24/2026\)](#) Rule 15c3-3 Reserve Formula [\(Link\)](#)

SEC Alerts

- No new updates as of 03/01/2026



SEC Announces Roundtable on Options Market Structure Reform

The Securities and Exchange Commission announced today that it will host a roundtable on April 16, 2026, to discuss listed options market structure, including facilitating competition in a quote driven market, evaluating the customer experience, and identifying opportunities and challenges for continued growth. [\(Link\)](#)

SEC and CFTC Announce Historic Memorandum of Understanding Between Agencies

The Securities and Exchange Commission and the Commodity Futures Trading Commission announced that they have entered into a Memorandum of Understanding (MOU) to guide coordination and collaboration between the two agencies to support lawful innovation, uphold market integrity, and ensure investor and customer protection. The MOU reflects both agencies' commitment to provide fair notice to market participants, respect individual liberty, and foster lawful innovation with the minimum effective dose of regulation to enhance U.S. competitiveness in finance. [\(Link\)](#)

SEC Proposes Amendments to Exchange Act Rule 15c2-11

The Securities and Exchange Commission proposed amendments to Exchange Act Rule 15c2-11, which sets out certain information gathering and review requirements for broker-dealers that publish quotations for, or maintain a continuous quoted market in, securities in the over-the-counter (OTC) market. [\(Link\)](#)

SEC Publishes Data on Public and Private Offerings, Municipal Advisors, Transfer Agents, and Securities-Based Swap Dealers

The Securities and Exchange Commission's Division of Economic and Risk Analysis (DERA) published a new report on security based swap dealers (SBSDs) and updated statistics and data visualizations on initial public offerings (IPOs), follow-on registered offerings, corporate bond offerings, Regulation A offerings, Regulation Crowdfunding offerings, Regulation D offerings, municipal advisors, transfer agents, SBSDs, and asset-backed securities (ABS) and commercial mortgage-backed securities (CMBS) issuances. [\(Link\)](#)

SEC Clarifies the Application of Federal Securities Laws to Crypto Assets

The Securities and Exchange Commission (SEC) today issued an interpretation clarifying how the federal securities laws apply to certain crypto assets and transactions involving crypto assets. This is a major step in the Commission's efforts to provide greater clarity regarding the Commission's treatment of crypto assets, and complements Congressional endeavors to codify a comprehensive market structure framework into statute. The Commodity Futures Trading Commission (CFTC) joined the interpretation to provide guidance that the CFTC and its staff will administer the Commodity Exchange Act consistent with the Commission's interpretation. [\(Link\)](#)

SEC Approves Amendment to NMS Plan to Further Reduce the Costs of the Consolidated Audit Trail

The Securities and Exchange Commission approved an amendment to the National Market System Plan governing the Consolidated Audit Trail ("CAT") and provided exemptive relief from certain requirements of Rule 17a-1 under the Securities Exchange Act of 1934 to allow for the implementation of various cost savings measures designed to meaningfully reduce the costs of the CAT while maintaining core regulatory functionality. [\(Link\)](#)



SEC Highlights Financial Independence During Financial Literacy Month

The Securities and Exchange Commission's Office of Investor Education and Assistance (OIEA) today announced that as part of April's National Financial Literacy Month it will highlight financial planning tools and resources on Investor.gov to encourage people to build toward financial independence. [\(Link\)](#)



Useful Links

- SEC Speeches and Statements [\(Link\)](#)
- SEC Videos [\(Link\)](#)
- SEC Social Media [\(Link\)](#)

FINRA

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FINRA Regulatory Notices

- [\(03/02/2026\)](#) FINRA Requests Comment on Modernizing FINRA Arbitration Rules, Guidance and Processes. Comment Period Expires: May 01, 2026 [\(Link\)](#)
- [\(03/09/2026\)](#) FINRA Adopts Amendments to the Equity Trade Reporting Rules to Provide a Limited Exception for Overnight Transactions Prior to 8:00 a.m. Eastern Time. Effective Date: March 30, 2026 [\(Link\)](#)
- [\(03/18/2026\)](#) 2026 GASB Accounting Support Fee to Fund the Governmental Accounting Standards Board [\(Link\)](#)
- [\(03/23/2026\)](#) FINRA Enhances New Member Application (Form NMA) [\(Link\)](#)

FINRA Information Notices

- [\(03/17/2026\)](#) New Rate for Fees Paid Under Section 31 of the Exchange Act. Effective Date: April 4, 2026 [\(Link\)](#)

FINRA Trade Reporting Notices

- No new updates as of 03/01/26



FINRA Upcoming Events

- [05/12/26](#) 2026 FINRA Annual Conference [\(Link\)](#)
- [07/12/26](#) Certified Regulatory and Compliance Professional Program Week I [\(Link\)](#)
- [10/27/2026](#) 2026 FINRA Small Firms Conference [\(Link\)](#)
- [11/15/2026](#) Certified Regulatory and Compliance Professional Program Week II [\(Link\)](#)

Useful Links

- [Compliance Tools_\(Link\)](#)
- [Enforcement_\(Link\)](#)

MSRB

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MSRB Information Notices

- No new updates as of 03/01/26

MSRB Upcoming Events

- [\(05/01/2026\)](#) NAMA's 2026 Annual Conference [\(Link\)](#)
- [\(05/13/2026\)](#) 2026 National Federation of Municipal Analysts Annual Conference [\(Link\)](#)

- No new updates as of 03/01/26

Useful Links

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- Regulation & Compliance [\(Link\)](#)
- Data & Research [\(Link\)](#)

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IARs registered in these states will need to complete 12 CE credits (hours) of continuing education by the end of the calendar year 2026. The 12 CE credits must include 6 credits on “Ethics and Professional Responsibility” and 6 credits on “Products and Practices.”

To count toward the CE requirement, the courses must be approved courses offered by approved providers. NASAA provides a list of approved providers, as well as a host of other important information (including FAQs), on its website at [Investment Adviser Representative Continuing Education - NASAA](#).

IARs can monitor and report their IAR CE through FINRA’s FinPro system: [Financial Professional Gateway \(FinPro\) | FINRA.org](#). Please see the [FinPro Guide \(finra.org\)](#) and [FinPro Account Creation Video | FINRA.org](#) for help setting up an account.

Similar to the Maintaining Qualifications Program (MQP), [EVEP](#) allows RRs and IARs to extend their state licenses period up to five years by opting in to the program(s), by paying an annual fee and maintaining certain continuing education requirements through FinPro. FAQs [\(Link\)](#).

- Here are the participating states [\(Link\)](#).
- Individuals can confirm their eligibility thru their FinPro account.

Jurisdictions:

- Arkansas (1/1/2023 effective date)
- California (1/1/2024 effective date)
- Colorado (1/1/2024 effective date)
- Florida (1/1/2024 effective date)
- Hawaii (1/1/2024 effective date)
- Illinois (1/1/2026 effective date)
- **Indiana (1/1/2027 effective date)**
- Kentucky (1/1/2023 effective date)
- Maryland (1/1/2022 effective date)
- Michigan (1/1/2023 effective date)
- Minnesota (1/1/2025 effective date)
- Mississippi (1/1/2022 effective date)
- Nebraska (1/1/2025 effective date)
- Nevada (1/1/2024 effective date)
- New Jersey (1/1/2025 effective date)
- North Dakota (1/1/2024 effective date)
- Oklahoma (1/1/2023 effective date)
- Oregon (1/1/2023 effective date)
- Rhode Island (1/1/2025 effective date)
- South Carolina (1/1/2023 effective date)
- Tennessee (1/1/2024 effective date)
- Vermont (1/1/2022 effective date)
- Washington, D.C. (1/1/2023 effective date)
- Wisconsin (1/1/2023 effective date)
- U.S. Virgin Islands (1/1/2025 effective date)

- [\(03/10/2026\)](#) NASAA Launches Comprehensive Online IAR Continuing Education Course Catalog to Streamline Compliance and Professional Development [\(Link\)](#)

Useful Links

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- Exams [\(Link\)](#)
- Model Rules [\(Link\)](#)
- Adopted Model Rules Archive [\(Link\)](#)

NASDAQ/ NASDAQ TRADER/ OTCBB

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Financial Product News

- [2026-11](#) Nasdaq Announces Launch of Indexes in the NASDAQ Global Index Family Effective Monday, March 23, 2026 [\(Link\)](#)
- [2026-12](#) Nasdaq Announces Launch of Three New Indexes Effective Monday, March 23rd, 2026 [\(Link\)](#)
- [2026-13](#) Nasdaq Announces Launch of a New Index Effective Friday, March 27th, 2026 [\(Link\)](#)
- [2026-14](#) Nasdaq Announces Launch of a New Index Effective Friday, March 27th, 2026 [\(Link\)](#)

Regulatory Alert

- [2026-1](#) Market Wide Circuit Breaker Testing - Member Testing Obligations [\(Link\)](#)

Useful Links

- [Current Regulatory Initiatives \(Link\)](#)



NYSE Weekly Program- Trading Data Releases:

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Intercontinental Exchange Reports February Statistics

Intercontinental Exchange, Inc. (NYSE:ICE), one of the world's leading providers of financial market technology and data powering global capital markets, today reported February 2026 trading volume and related revenue statistics, which can be viewed on the company's investor relations website at <https://ir.theice.com/ir-resources/supplemental-information-in-the-Monthly-Statistics-Tracking-spreadsheet>. [\(Link\)](#)

ICE Makes Investment in OKX, Establishing Strategic Relationship

Intercontinental Exchange (NYSE: ICE), one of the world's leading providers of financial market technology and data powering global capital markets including the New York Stock Exchange, today announced a strategic relationship and investment in OKX, a blockchain technology and trading company serving more than 120 million people globally. [\(Link\)](#)

Intercontinental Exchange Launches ICE Private Credit Intelligence with Apollo as Anchor Partner

Intercontinental Exchange, Inc. (NYSE: ICE), one of the world's leading providers of financial market technology and data powering global capital markets, today announced the launch of ICE Private Credit Intelligence, which will bring greater transparency to the private credit market. Apollo (NYSE: APO) is supporting the launch as an anchor partner and ICE expects to onboard additional originators, asset managers and capital markets participants over the coming months. [\(Link\)](#)

Intercontinental Exchange Sets Date for 2026 Virtual Annual Meeting of Stockholders

Intercontinental Exchange, Inc. (NYSE: ICE), one of the world's leading providers of financial market technology and data powering global capital markets, will hold its 2026 Annual Meeting of Stockholders virtually on Friday, May 15, 2026 at 8:30 a.m. Eastern Time. Stockholders of record as of the close of business on Thursday, March 19, 2026 are entitled to participate in, vote and submit questions at the Annual Meeting. Stockholders will also be able to submit questions in advance of the meeting at proxyvote.com beginning on May 1, 2026. [\(Link\)](#)

ICE Reports Record Market Activity as Customers Respond to Middle East Impacts

Intercontinental Exchange, Inc. (NYSE: ICE), one of the world's leading providers of financial market technology and data powering global capital markets, today reported on the trading activity across its global derivatives markets, as well as in equities trading at the New York Stock Exchange, as customers respond to events in the Middle East beginning February 28, 2026. [\(Link\)](#)

Intercontinental Exchange Announces New \$600 Million Investment in Polymarket

Intercontinental Exchange, Inc. (NYSE: ICE), one of the world's leading providers of financial market technology and data powering global capital markets, today announced that, as part of its previously announced investment arrangement with Polymarket, ICE has completed a new \$600 million direct cash investment in Polymarket, which is part of an equity capital fundraising by Polymarket. ICE also expects to make purchases of up to \$40 million of Polymarket securities from certain existing holders. [\(Link\)](#)





FinCEN

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FinCEN Assesses Historic \$80 Million Penalty Against Canaccord Genuity LLC for Securities Fraud-Related Bank Secrecy Act Violations

The Department of the Treasury's Financial Crimes Enforcement Network (FinCEN) assessed an \$80,000,000 civil money penalty against Canaccord Genuity LLC (Canaccord) for willful violations of the Bank Secrecy Act (BSA), the primary U.S. anti-money laundering and countering the financing of terrorism law that safeguards the financial system from illicit use. This is the largest penalty ever imposed against a broker-dealer for violating the BSA. [\(Link\)](#)

Financial Action Task Force Identifies Jurisdictions with Anti-Money Laundering, Combating the Financing of Terrorism, and Counter-Proliferation Finance Deficiencies

The Financial Crimes Enforcement Network (FinCEN) is informing U.S. financial institutions that the Financial Action Task Force (FATF), an intergovernmental body that establishes international standards for anti-money laundering, countering the financing of terrorism, and countering the financing of proliferation of weapons of mass destruction (AML/CFT/CPF), updated its lists of jurisdictions with strategic AML/CFT/CPF deficiencies at the conclusion of its plenary meeting last month. [\(Link\)](#)

FinCEN Issues Expanded Southwest Border Geographic Targeting Order

The U.S. Department of the Treasury's Financial Crimes Enforcement Network (FinCEN) has issued an expanded Geographic Targeting Order (GTO) to help law enforcement combat the illicit activities and money laundering of Mexico-based cartels and other criminal actors along the southwest border of the United States. The GTO subjects certain money services businesses (MSBs)—which provide financial services outside of a formal bank—to enhanced reporting requirements with FinCEN. This important tool ensures law enforcement has access to critical data and can act quickly as they investigate illicit activity. [\(Link\)](#)



FinCEN Proposes Rule to Pay Whistleblowers


The U.S. Department of the Treasury's Financial Crimes Enforcement Network (FinCEN) submitted to the Federal Register a Notice of Proposed Rulemaking (NPRM) to fully implement a whistleblower program by establishing a framework for offering incentives and protections to encourage individuals to report tips on fraud-related violations of the Bank Secrecy Act, U.S. sanctions programs administered by Treasury's Office of Foreign Assets Control, and several other laws critical to safeguarding the U.S. financial system and national security. [\(Link\)](#)

FinCEN Issues Advisory on Health Care Fraud Schemes Targeting Medicare, Medicaid, and Other Federal and State Health Care Benefit Programs

The U.S. Department of the Treasury's Financial Crimes Enforcement Network (FinCEN) issued an Advisory urging financial institutions to be vigilant about health care fraud schemes targeting government health care benefit programs such as Medicare and Medicaid. FinCEN's Advisory provides financial institutions with an overview of how fraudsters, organized crime groups, and, increasingly, transnational criminal organizations are targeting government health care benefit programs. It also highlights money laundering typologies and red flag indicators to help financial institutions identify and report suspicious activity. [\(Link\)](#)

Reminders

-  Continuing Education:
 - BDs must ensure that their registered persons complete their annual Regulatory Element CE by December 31 for each registration that they hold.
 -  Registered persons must have an account in FinPro. The modules will be assigned based on registrations held.
 - BDs must ensure that their registered persons complete their annual Firm Element CE by December 31.
 - Firms should be working on completing and documenting their 2026 Needs Analysis and CE Plan. If you need assistance or have questions, please **contact** your RRS consultant.

 **Don't forget** to update your compliance calendar with important deadlines for 2026

- **RRS calendar** ([Link](#))

 In case you missed it: [March RCU](#) ([Link](#))
[February RCU](#) ([Link](#))
[January RCU](#) ([Link](#))



Reminders

- Continuing Education:



- RIAs with IARs registered in states with CE requirements **(Participating Jurisdictions)** must use a **NASAA-approved vendor**.



- IARs needing reregistration in a state requiring CE will need to complete their CE before their reregistration can be processed.



- IARs who register in a participating jurisdiction for the first time do not have an annual IAR CE requirement until January 1 of the following year. For example, if an IAR registered in a participating jurisdiction for the first time in February 2026, they will not be required to complete IAR CE in 2026. Their IAR CE requirement will begin on January 1, 2027. **(FAQs)**.



Don't forget to update your compliance calendar with important deadlines for 2026

- **RRS calendar** [\(Link\)](#)



In case you missed it: **March RCU** [\(Link\)](#)
February RCU [\(Link\)](#)
January RCU [\(Link\)](#)



EVENTS

18	APRIL	2026	FSDA Generational Day of Financial Literacy	RRS will be exhibiting at FSDA Generational Day of Financial Literacy in Boca Raton, FL! Register here!
5	MAY	2026	NSCP Regional - Chicago	RRS will be sponsoring the NSCP Regional Conference in Chicago, IL! Register here!
12	MAY	2026	2026 FINRA Annual	RRS will be attending the 2026 FINRA Annual Conference in Washington DC! <u>Angela Brunelle</u> will be in attendance! Register here!
20	MAY	2026	NSCP Regional - Miami	RRS will be attending the NSCP Regional Conference in Miami, FL! <u>Bart McDonald</u> will be speaking! Register here!



Resource Links

Government

SRO

- Commodity Futures Trading Commission – WWW.CFTC.GOV
- Financial Conduct Authority - WWW.FCA.ORG.UK
- FinCEN - www.FINCEN.gov
- North American Securities Administrators Association - www.NASAA.org
- Prudential Regulatory Authority – WWW.BANKOFENGLAND.CO.UK
- U.S. Securities & Exchange Commission – www.SEC.gov

- FINRA - www.FINRA.org
- Municipal Securities Rulemaking Board - www.MSRB.org
- NASDAQ - www.NASDAQ.com
- National Futures Association WWW.NFA.FUTURES.ORG
- New York Stock Exchange - www.NYSE.com

Industry

- Alternative Investment Management Association “AIMA” – WWW.AIMA.ORG
- Bank Insurance & Securities Association “BISA” – WWW.BISANET.ORG
- Florida Securities Dealers & Advisors “FSDA” – www.floridasecurities.com
- Financial Market Association “FMA” – WWW.FMAWEB.ORG
- Financial Services Institute “FSI” – WWW.FINANCIALSERVICES.ORG
- Fiduciary & Investment Risk Management Association “FIRMA” – WWW.THEFIRMA.ORG
- Investment Adviser Association “IAA” – WWW.INVESTMENTADVISER.ORG
- Institutional Limited Partners Association “ILPA” – WWW.ILPA.ORG
- Investment Company Institute “ICI” – WWW.ICI.ORG
- Managed Funds Association “MFA” – WWW.MANAGEDFUNDS.ORG
- National Society of Compliance Professionals “NSCP” – WWW.NSCP.ORG
- Securities Industry and Financial Markets Association “SIFMA” – www.SIFMA.ORG

*This list is provided for information purposes only. RRS does not specifically endorse any group noted.

Follow us!



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Reader Survey

“Find It - Before the Regulators”

The RRS staff continually strives to ensure that the services and support we provide to our clients is the most up to date and comprehensive available. We can forecast regulatory trends based on our extensive regulatory experience and the information our clients provide regarding new products, services and/or marketing trends. This “Find It - Before the Regulators” insight enables us to develop customized compliance solutions so that our clients can address any regulatory deficiencies before the regulators do. If you have any questions or suggestions, please speak with your consultant or call us at (561) 368-2245.

Reader Survey Response Form



Bottom line - we want to know!

If you have any comments, complaints, or suggestions, please do not hesitate to call (561) 368-2245 or email:

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