

Regulatory Tracker

Helping Market Participants Understand and Monitor Dodd-Frank

The Davis Polk Regulatory Tracker is an online subscription service designed to help market participants effectively navigate the Dodd-Frank Act and the regulatory phase of financial reform. The Tracker serves as an internal compliance and strategic planning tool for subscribers who need to know the requirements, effective dates and current developments related to the Act. Subscribers can access the Dodd-Frank Database as well a suite of other tools including a daily email alert of recent activity.



The **Dodd-Frank Database** breaks the Dodd-Frank Act into operative provisions and tracks their implementation. This includes not only more than 200 required rulemakings and 70 required studies, but also more than 1,000 other key provisions that will reshape the financial landscape.



The **Rules Database** follows rulemaking streams under the Dodd-Frank Act from proposal to final implementation, simplifying the search for a particular rule of interest, important commentary or key date.



The **Calendar** is an interactive catalogue of dates and deadlines related to the Dodd-Frank Act, making it easy to find approaching deadlines, upcoming meetings and open comment periods.



Users receive daily **Email Updates** alerting them to recent developments, including proposed and final rules, recent events and regulator speeches.

Sortable and searchable across all columns

Statutory blacklines of every amendment to the U.S. Code to place changes made by Dodd-Frank in context

Unique ID numbers to help integrate new developments into your project management system

Davis Polk

Regulatory Tracker™ / Institutional

Davis Polk's summaries of more than 1400 key provisions of the Dodd-Frank Act

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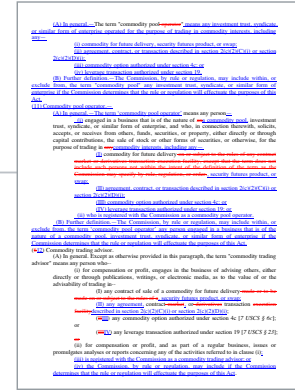
Regulatory developments are updated daily, including details of rule proposals, meetings and regulator statements

Clear filters

Category	Title	Description	Summary of Provision	Regulator	Regulator Timeline	Effective Date	Section	Statutory Citation	Regulatory Rulemaking ^	Other Regulatory Action	Public Commentary and Legislative History	Doc ID
Derivatives	(All)								capital			
Derivatives	Title VII	Operative Provision and Expected Rulemaking: Capital and Margin Requirements for Futures Commission Merchants, Introducing Brokers, Brokers and Dealers	A futures commission merchant, introducing broker, broker or dealer must comply with the stricter of any applicable capital requirement imposed under the Commodity Exchange Act or the Securities Exchange Act.	CFTC	2011/07 - Expected Comment Deadline for CFTC Proposed Rule on Capital Requirements for Swap Dealers and Major Swap Participants	2011/07/16 - Provision Effective	731	7 U.S.C. 1 et seq., Commodity Exchange Act § 4s(e)(3)(B)(ii).	2011/04/29 CFTC Proposed Rule Capital Requirements for Swap Dealers and Major Swap Participants (Comments due within 60 days of FR publication) (Fact Sheet) (Q&A)	2011/04/27 CFTC Meeting Fourteenth Series of Proposed Rules Under the Dodd-Frank Act		408
Derivatives	Title VII	Required Rulemaking: Capital and Margin Requirements	The prudential regulators in consultation with the SEC and CFTC, with respect to the security-based swap dealers and major security-based swap participants for which there is a "prudential regulator", and the SEC, with respect to other security-based swap dealers and major security-based swap participants, must adopt rules imposing capital requirements and initial and variation margin requirements on non-cleared security-based swaps. This rulemaking requirement does not limit the authority of (1) the SEC to set financial responsibility rules for brokers and dealers or (2) the CFTC to set financial responsibility rules for futures commission merchants and introducing brokers. The prudential regulator and SEC must periodically consult each other and, to the extent possible, establish and maintain comparable capital and margin requirements. Certain captive finance companies are exempt from the margin requirements for not less than 2 years with regard to security-based swaps entered into to mitigate the risk of its financing activities.	SEC, Prudential Regulators	2011/06/24 - Comment Deadline for Fed/FCA /FDIC/FHFA/OCC Proposed Rule on Margin and Capital Requirements for Covered Swap Entities	2011/07/16 or, if later, not less than 60 days after publication of final rule - Provision Effective	764	15 U.S.C. 78a et seq., Securities Exchange Act § 15F(e)(2)-(3).	2011/05/11 Fed/FCA /FDIC/FHFA/OCC Proposed Rule Margin and Capital Requirements for Covered Swap Entities (Comments due by June 24, 2011) (Fed Press Release) (FDIC Staff Memorandum)	2011/04/12 FDIC Meeting Board Meeting 2010/12/10 CFTC/SEC Public Roundtable Capital and Margin for Swaps and Security-Based Swaps (FR Notice) (Agenda) (CFTC Press Release)	Fed Commentary Page Margin and Capital Requirements for Covered Swap Entities FHFA Commentary Page Margin and Capital Requirements for Covered Swap Entities OCC Commentary Page Margin and Capital Requirements for Covered Swap Entities CFTC Commentary Page Rulemaking Agenda - Capital & Margin for Non-Banks	551

Concise description for easy navigation

Timeline of upcoming regulator activity



regulatorytracker.com

Davis Polk Regulatory Tracker™
Daily Update / May 4, 2011

5 NEW UPDATES

Federal Deposit Insurance Corporation (FDIC)
FDIC Announces May 10 Board Meeting on Foreign Exchange Transactions
 May 3, 2011
 The FDIC announced it will hold an open meeting on May 10, 2011 at 9:15 a.m. to discuss a Proposed Rule on Regulating FDIC-Supervised Entities Engaged in Retail Forex Transactions.
 - Meeting Notice

Office of Thrift Supervision (OTS)
OTS Releases Information Regarding Examinations Under the Truth in Lending Act
 May 3, 2011
 The OTS released a Regulatory Bulletin and a Dear CEO Letter regarding changes to examinations under the Truth in Lending Act to reflect amendments made by the Dodd-Frank Act.
 - Bulletin
 - Letter

Securities and Exchange Commission (SEC)
SEC Releases Notice of May 10 Roundtable on Money Market Funds and Systemic Risk
 May 3, 2011
 The SEC issued a meeting notice regarding a roundtable on money market funds and systemic risk.
 - Meeting Notice

Daily email alerts keep subscribers informed during the fast-paced implementation phase.

U.S. Congress
Shelley Moore Capito in
 May 2, 2011
 Rep. Shelley Moore Capito (R-WV) introduced the following bill:
 - Bill Information

U.S. Courts
U.S. Sentencing Commi
 May 3, 2011
 The U.S. Sentencing Commission announced that the guidelines are effective November 1, 2011.
 - Notice

If you have any questions about the material, please click here to unsubscribe.

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Upcoming Events

CFTC - Comment Deadline: Proposed Interpretive Order on Antidistruptive Practices Authority
 17 May 2011
 "On March 18, 2011 the CFTC published in the Federal Register a Proposed Interpretive Order on Antidistruptive Practices Authority. Comments are due by ..."
 Tags: [cftc](#) Categories: [Comment Deadlines, Derivatives](#)

SEC - Comment Deadline: Information Collection Regarding Internet Investment Advisers
 17 May 2011
 "On March 18, 2011 the SEC published in the Federal Register a Comment Request on a Proposed Information Collection regarding Internet Investment Advisers."
 Tags: [sec](#) Categories: [Comment Deadlines, Private Funds / Investment Advisers](#)

SEC - Meeting: Credit Rating Agencies and Asset-Backed Securities
 18 May 2011, 10:00 - 12:00, 100 F Street N.E., Washington, D.C. (Room L-002)
 "On May 18, 2011 at 10:00 a.m. the SEC will hold an open meeting on credit rating agencies, providers of third-party due diligence services for asset-b..."
 Tags: [sec](#) Categories: [Meetings, Credit Rating Agencies, Securitization](#)

SEC - Comment Deadline: Submission for OMB Review Regarding Information Collection on Exemption for Nonaccelerated Filers
 19 May 2011
 "On April 19, 2011 the SEC published in the Federal Register a Notice of Submission for OMB Review regarding an extension of its information collection..."
 Tags: [sec](#) Categories: [Comment Deadlines, Miscellaneous](#)

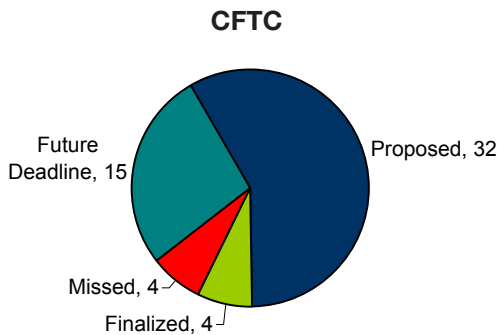
SEC - Comment Deadline: Proposed Rule on Listing Standards for Compensation Committees
 19 May 2011
 "On April 6, 2011, the SEC published in the Federal Register a Proposed Rule on Listing Standards for Compensation Committees. Comments were originally..."
 Tags: [sec](#) Categories: [Comment Deadlines, Executive Compensation / Corporate Governance](#)

Fed - Comment Deadline: Proposed Rule on FMUs
 19 May 2011
 "On April 4, 2011 the Federal Reserve published in the Federal Register a Proposed Rule on Financial Market Utilities. Comments are due by May 19, 2011..."
 Tags: [fed](#) Categories: [Comment Deadlines, Miscellaneous](#)

CFTC - Meeting: Agricultural Advisory Committee Meeting
 19 May 2011, 09:00 - 13:00, Three Lafayette Center, 1155 21st Street NW, Washington, DC 20581 (First Floor Conference Room)
 "On May 19, 2011 from 9:00 a.m. to 1:00 p.m. the CFTC Agricultural Advisory Committee will meet to discuss issues related to proposed rules on position..."
 Tags: [cftc](#) Categories: [Meetings, Derivatives](#)

NCUA - Meeting: Share Insurance, Golden Parachute and Indemnification Payments
 19 May 2011, 10:00 - 11:30, 1775 Duke Street, Alexandria, VA (Room 7047)
 "On May 16, 2011, the NCUA published in the Federal Register a notice of a meeting which will include discussion of Final Rules on Share Insurance and..."
 Tags: [ncua](#) Categories: [Meetings, Executive Compensation / Corporate Governance, Miscellaneous](#)

A comprehensive calendar includes all upcoming comment deadlines related to Dodd-Frank along with meetings, regulator deadlines, public roundtables, hearings and rule effective dates.



Subscribers can also access our monthly *Dodd-Frank Rulemaking Progress Reports*, based on underlying Tracker data.

For more information or to schedule a demonstration of the Tracker or other Davis Polk products, contact tracker@davispolk.com.