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Pursuant to a legislative requirement, GAO reviewed the Securities and Exchange Commission's (SEC) new rule on the regulation of exchanges and alternative trading systems (ATS). GAO noted that: (1) the rule would allow ATS to choose whether to register as national securities exchanges, or to register as broker-dealers, depending on their activities and trading volume; (2) in addition, Regulation ATS will require alternative trading systems that trade a certain volume of securities to make ...

**U.S. GAO - Securities and Exchange Commission:
Regulation ...**

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Regulation of Trading Systems on Financial Markets provides a comparative analysis of each subject covered, including the advantages and disadvantages that exist in the diverse legal solutions envisaged, as well as the current state of the various controversies in the existing doctrine. Read more Read less click to open popover

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...

The Securities and Exchange Commission today is adopting new rules and rule amendments to allow alternative trading systems to choose whether to register as national securities exchanges, or to register as broker-dealers and comply with additional requirements under Regulation ATS, depending on...

Regulation of Exchanges and Alternative Trading Systems

It also explained that "given the interconnectedness of trading

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firm systems, carving out a particular subset of automated systems from the definition of Algorithmic Trading, e.g., order routing systems, would introduce unnecessary complexity and reduce the effectiveness of the safeguards provided in its proposed regulations.” The ...

Federal Register :: Regulation Automated Trading

Regulation is used to try and protect consumers from the inherently risky nature of day trading. But with as little as 5% of brokers being regulated, getting that protection isn't always straightforward. However, as this page will show, forex, stocks, CFDs, and binary options trading regulations can benefit both traders and brokers.

Regulation - DayTrading.com

requirements in Regulation ATS under the Securities Exchange Act of 1934 (“Exchange Act”) applicable to alternative trading

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systems ("ATs") that transact in National Market System ("NMS") stocks (hereinafter referred to as ("NMS Stock ATs"), including so called "dark pools."

Regulation of NMS Stock Alternative Trading Systems

The Commodity Futures Trading Commission ("CFTC" or "Commission") is proposing a series of risk controls, transparency measures, and other safeguards to enhance the regulatory regime for automated trading on U.S. designated contract markets ("DCMs") (collectively, "Regulation AT").

Federal Register :: Regulation Automated Trading

Every alternative trading system subject to this Regulation AT, pursuant to paragraph (a) of this section, shall comply with the requirements in this paragraph (b). (1) Broker-dealer registration. The alternative trading system shall register as a broker-dealer under section 15 of the Act, (15 U.S.C. 78o). (2)

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Notice.

17 CFR § 242.301 - Requirements for alternative trading

...

The Securities and Exchange Commission (SEC) must approve alternative trading systems. In recent years, regulators have stepped up enforcement actions against alternative trading systems for...

Alternative Trading System (ATS) Definition

January 2009 - July 2020. Regulation ATS establishes a regulatory framework for “alternative trading systems” (“ATSs”). An ATS is a trading system that meets the definition of “exchange” under federal securities laws but is not required to register as a national securities exchange if the ATS operates under the exemption provided under Exchange Act Rule 3a1-1 (a).

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SEC.gov | Alternative Trading System ("ATS") List

A trading system is a set of rules that can be based on technical indicators or fundamental analysis. A trading system tells the trader when and how to trade. In many cases, a trading system is like a blueprint for trading. A trading system is important for a trader because without it, there is no way a trader can expect to trade.

Trading Systems - Everything You Need to Know

2019 on Trading Through Electronic Systems ("GR 80"). GR 80 is one of the regulations mandated under Presidential Regulation No. 74 of 2017 on the National E-Commerce Road Map 2017 - 2019 (specifically under the consumer protection program) ("PR 74").

Client Alert Regulation - Baker McKenzie

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The Indonesian Government issued Government Regulation No. 80 of 2019 on Trading Through Electronic Systems ("GR 80"). GR 80 is one of the regulations mandated under Presidential Regulation No. 74 of 2017 on the National E-Commerce Road Map 2017 - 2019 (specifically under the consumer protection program) ("PR 74"). Despite GR 80 being issued before the end of 2019, it has nonetheless been delayed from the initial target of late 2017 to early 2018.

Indonesia Now Has Specific E-commerce Regulation | Insight ...

FINRA member firms that engage in algorithmic strategies are subject to SEC and FINRA rules governing their trading activities, including FINRA Rule 3110 (Supervision). A reasonable supervision and control program may not prevent every possible failure.

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Algorithmic Trading | FINRA.org

The multilateral trading system is an attempt by governments to make the business environment stable and predictable. The Uruguay Round increased bindings Percentages of tariffs bound before and after the 1986-94 talks (These are tariff lines, so percentages are not weighted according to trade volume or value)

WTO | Understanding the WTO - principles of the trading system

When the SEC adopted Regulation ATS, it established a framework for the regulation of trading venues that meet the definition of an “exchange” under Section 3(a)(1) of the Securities Exchange Act and SEA Rule 3b-16: They can either apply for registration as a national securities exchange, or they can register as a broker-dealer and comply with Regulation ATS.2

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Regulatory Notice 18-25 - FINRA

Some governments, usually in emerging and frontier markets, ban retail Forex trading outright, while the majority regulate it so that Forex trading can be done in a safer environment for traders. When it comes to regulation, a fine line must be walked in order to ensure a fair market, protect traders, and allow innovation.

Forex Regulations in Canada

Regulatory consistency—brokers operate proprietary trading platforms known as Alternative Trading Systems (ATS) that execute trades but are not regulated as exchanges. The differing regulatory treatment should be eliminated. Issuer choice—under current rules, every exchange can, and typically does, trade every listed company's stock.

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Equity Market Structure Regulation: Time to Start Over

In general, for regulatory purposes, an alternative trading system is an organization or system that provides or maintains a market place or facilities for bringing together purchasers and sellers of securities, but does not set rules for subscribers (other than rules for the conduct of subscribers trading on the system).

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