

## COVID-19 Regulatory Actions and Developments

### Clearing Agency

#### Securities and Exchange Commission (SEC)

**Date:** April 24, 2020

**NEW! SEC Announces Cross-Divisional COVID-19 Market Monitoring Group**

The SEC announced the formation of a senior-level internal cross-divisional COVID-19 Market Monitoring Group to assist the Commission with respect to actions and analysis related to the effects of COVID-19 and to respond to requests for information and assistance from regulators and others.

[External Link](#)

---

**Date:** April 2, 2020

**SEC Staff Statement Regarding Certain Paper Submissions**

The staff of the Division of Trading and Markets issued a statement indicating that it will not recommend enforcement action with respect to failures to comply with paper format submission requirements or manual signature requirements, subject to certain conditions. The relief covers submissions for the period from March 16 through June 30, 2020.

[External Link](#)

---

**Date:** March 23, 2020

**OCIE Statement on Examinations of SEC Registrants**

The SEC's Office of Compliance Inspections and Examinations announced that it has moved to conducting examinations of registrants off-site through correspondence, unless it is absolutely necessary to be on-site.

[External Link](#)

---

**Date:** March 20, 2020

**Order Exempting Transfer Agents from Various Obligations and Exempting Securities Industry Participants from Fingerprinting Requirement**

The SEC issued an order exempting transfer agents from various requirements related recordkeeping, reporting, and processing time. The order also exempts various securities industry participants from the requirement to fingerprint personnel. The exemption period is from March 16, 2020 through May 30, 2020.

[External Link](#)

