

## COVID-19 Regulatory Actions and Developments

### Single Dealer Platform

#### Securities and Exchange Commission (SEC)

**Date:** March 16, 2020

***No-Action Relief Granted from Consolidated Audit Trail Deadlines***

SEC staff issued no-action relief to the Financial Industry Regulatory Authority and the national securities exchanges from enforcing their Consolidated Audit Trail (CAT) compliance rules with regard to CAT implementation deadlines against members of FINRA and of such exchanges.

The no-action relief applies through May 20, 2020, but could be extended..

[External Link](#)