

The SEC's Proposed Rule for Reporting Large Security-Based Swap Positions

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In this article, Elanit Snow discusses the SEC's proposed Rule 10B-1 in detail, which requires the reporting of large security-based swap positions above certain prescribed thresholds. She begins by comparing the proposed rule to other recently enacted and proposed regulations, observing that the proposal enters a crowded regulatory environment. Next, the article examines the SEC's rulemaking authority and explores events that have directly contributed to enacting this proposed regulation. Finally, Elanit provides an in-depth summary of proposed Rule 10B-1 and identifies potential conflicts with existing regulations and unintended consequences of the proposed Rule.

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