

# NASD seeks compliance with SEC rule on trading unlisted securities



Iheanyi Nwachukwu - November 29, 2024



# Securities Pricing Trading Volumes And Nasd System Limitations Led To Decimal Trading Delay

**Thomas J. McCool, Cody J. Goebel**



## **Securities Pricing Trading Volumes And Nasd System Limitations Led To Decimal Trading Delay:**

**Securities Pricing** United States. General Accounting Office,2000      Securities pricing : trading volumes and NASD system limitations led to decimal trading delay : report to congressional requesters ,      *Securities Pricing* Thomas J. McCool,Cody J. Goebel,2002 Examines the progress that the securities industry SI has made toward the implementation of decimal pricing DP for U S stocks The U S equity markets are the only major equity markets that still use fractional pricing Some have projected significant savings to investors following implementation of DP This report addresses these questions what were the reasons that the Nasdaq market was not ready for the July 3 2000 implementation date how SEC approached oversight of the SI s implement of DP what challenges remain regarding implementing DP      Securities Pricing: Trading Volumes and NASD System Limitations Led to Decimal-Trading Delay ,2000 This report responds to your April 27 2000 request that we examine the progress that the securities industry has made toward the implementation of decimal pricing for U S stocks The U S equity markets are the only major equity markets in the world that still use fractional pricing and some observers have projected significant savings to investors following the implementation of decimal pricing In January 2000 the Securities and Exchange Commission SEC issued an order requiring all stocks and options exchanges and the National Association of Securities Dealers Inc NASD which administers the Nasdaq Stock Market Inc to develop a plan that would ensure that decimal trading would begin by July 3 2000 However in March 2000 NASD officials announced that they would not be able to meet this deadline As a result of this announcement SEC suspended the order requiring the markets to implement decimal trading by July 3 2000 On August 28 2000 after SEC issued a new order a small number of stocks and options began trading in decimal prices and a new phased schedule for the implementation of decimal trading was put into place This schedule called for all securities to be quoted and traded in decimals by April 9 2001      *Securities Pricing* United States Accounting Office,2018-02-13 GGD AIMD 00 319 **Securities Pricing Trading Volumes and NASD System Limitations Led to Decimal Trading Delay**      **Potential terrorist attacks additional actions needed to better prepare critical financial market participants : report to the Committee on Financial Services, House of Representatives. ,**

Potential Terrorist Attacks David M. D'Agostino,Cody J. Goebel,2003-06      **Potential Terrorist Attacks** United States. General Accounting Office,2003      **Recovery and Renewal** United States. Congress. House. Committee on Financial Services. Subcommittee on Capital Markets, Insurance, and Government Sponsored Enterprises,2003      **Securities Markets** United States. Government Accountability Office,2005      **Information systems opportunities exist to strengthen SEC's oversight of capacity and security. ,**2001 The various components of SECs ARP program provide it with a reasonable level of assurance that the SROs address capacity security and other information system issues However SECs ARP oversight could be improved To plan and conduct inspections of SRO systems issues ARP staff use various criteria including checklists that are based on ARP policy statements and standards from guidance developed by other external audit

organizations and information technology bodies such as banking regulators However we found that the ARP program has not consolidated these criteria into a single guide that covers all the issues key to SEC oversight or that provides the specific review steps     Month in Review ... ,2000-10     **The Transformation of Wall Street** Joel Seligman,2003 Since 1977 The Transformation of Wall Street has offered an in depth look at the history of the SEC s origins accomplishments and failings since its creation in 1934 This updated third edition continues the history until 2001 the end of Arthur Levitt s Chairmanship with a treatment of auditing issues through the enactment of the Sarbanes Oxley Act     **Securities Regulation** Louis Loss,2006     *Reports and testimony* ,2000     *SEC Docket* United States. Securities and Exchange Commission,1999

**Trading Places** United States. Congress. Senate. Committee on Banking, Housing, and Urban Affairs. Subcommittee on Securities,2000     *Decimals 2000* United States. Congress. House. Committee on Commerce. Subcommittee on Finance and Hazardous Materials,2000     *Decimal Conversion 2000* United States. Congress. House. Committee on Commerce. Subcommittee on Finance and Hazardous Materials,2000     Books In Print 2004-2005 Ed Bowker Staff,Staff Bowker, Ed,2004

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