NASD seeks compliance with SEC rule on trading unlisted securities



Iheanyi Nwachukwu - November 29, 2024



Sebastian Brünink

Securities Pricing United States. General Accounting Office, 2000 Securities pricing: trading volumes and NASD system limitations led to decimaltrading 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 Nasdag 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 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 Nasdag 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 **Recovery and Renewal** United States. Congress. House. Committee on Financial Services. Accounting Office, 2003 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 echnology 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

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