Regulation of NMS Stock Alternative Trading Systems

AGENCY: Securities and Exchange Commission.

ACTION: Final rule; technical correction.

SUMMARY: This document makes technical corrections to a rule that was published in the Federal Register on August 7, 2018 (83 FR 38768). The Commission adopted amendments to the regulatory requirements in Regulation ATS under the Securities Exchange Act of 1934 applicable to alternative trading systems (“ATSs”) that trade National Market System (“NMS”) stocks (hereinafter referred to as “NMS Stock ATSs”), which included, among other items, Form ATS-N. This document is being published to correct a citation contained in the adopted language of Part III, Item 15.a of Form ATS-N.

DATE: Effective [insert date of publication in the Federal Register].

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SUPPLEMENTARY INFORMATION: We are making a technical amendment to Part III, Item 15.a of Form ATS-N under 17 CFR § 249.640.
STATUTORY AUTHORITY AND TEXT OF AMENDMENTS

For the reasons set out above, Form ATS-N under title 17, chapter II of the Code of Federal Regulations is amended as follows:

PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934

1. The general authority citation for part 249 continues to read in part as follows:


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2. Amend Part III, Item 15.a of Form ATS-N under subpart G of § 249.640 to read as follows:

   Note: The text of Form ATS-N does not, and this amendment will not, appear in the Code of Federal Regulations.

   Item 15: Display

   a. Does the NMS Stock ATS operate as an Electronic Communication Network as defined in Rule 600(b)(23) of Regulation NMS?

      Yes☐ No☐

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Dated: November 6, 2018.

Eduardo A. Aleman,
Assistant Secretary.