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Sec Guidelines For Public Disclosure Division of Corporation Finance Securities and Exchange Commission CF Disclosure Guidance: Topic No. 9A Date: June 23, 2020. Summary: This guidance provides additional views of the Division of Corporation Finance regarding operations, liquidity, and capital

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The Investment Adviser Public Disclosure (IAPD) database provides instant access to registration documents filed by more than 25,000 SEC- or state-registered investment advisers. IAPD provides access to Form ADV filings made by investment adviser firms that register electronically using the Investment Adviser Registration Depository (IARD). IAPD also provides access to registration information ...

[SEC.gov | Coronavirus \(COVID-19\) — Disclosure ...](#)

The SEC also requires disclosure of relevant business and financial information to potential investors when new securities, such as stocks and bonds, are issued to the public, although exceptions...

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In November 2000, the SEC adopted Exchange Act Rule 11Ac1-5. Rule 11Ac1-5 is aimed at improving public disclosure of order execution quality. Under Rule 11Ac1-5, the SEC requires market centers that trade national market system securities to make monthly electronic reports.

[SEC.gov | Coronavirus \(COVID-19\)](#)

General Disclosure Guidance The Guidance summarizes the basic disclosure requirements applicable to registration statements under the Securities Act of 1933 and the Securities Exchange Act of 1934 (Exchange Act), as well as to periodic and current reports under the Exchange Act.

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*SEC Issues Interpretive Guidance on Public Company ...*

SEC-Required Disclosure Documents The SEC requires all publicly-traded companies to prepare and issue two disclosure-related annual reports, one for the SEC itself and one for the company's...

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disclosure requirements it may, subject to the provisions of the Act, impose on that person a financial penalty or publish a statement censuring that person. (2) If the FCA considers that a former director was knowingly concerned in a breach by an issuer it may, subject to the provisions of the Act, impose on that person a financial penalty.

*SEC Requirements for Public Companies, SEC Requirements to ...*

A public company with a class of securities registered under either Section 12 or which is subject to Section 15(d) of the Securities Exchange Act of 1934, as amended ("Exchange Act") must file reports with the SEC ("Reporting Requirements"). The underlying basis of the Reporting Requirements is to keep shareholders and the markets informed on a regular basis in a transparent manner. Reports filed with the SEC can be viewed by the public on the SEC EDGAR website.

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Sample Letter Sent to Public Companies on Accounting and Disclosure Issues Related to Potential Risks and Costs Associated with Mortgage and Foreclosure-Related Activities or Exposures Sample Letter Sent to Public Companies Asking for Information Related to Repurchase Agreements, Securities Lending Transactions, or Other Transactions Involving the Transfer of Financial Assets

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Companies should consider the need for COVID-19-related disclosures within the context of the federal securities laws and our principles-based disclosure system. The cornerstone of this system is disclosure of material information that is widely disseminated. It is only with this type of disclosure that all investors can make informed decisions.

[SEC Rule 605 | FINRA.org](#)

Guidelines addressed to national competent authorities on supervisory reporting and public disclosure. 1.2. These Guidelines relate to Articles 35, 51, 53, 54, 55, 254 (2) and 256 of Directive 2009/138/EC of the European Parliament and of the Council 2 (hereinafter Solvency II Directive) and Articles 290 to 298, 305 to 311, 359 and

[SEC Guidance on Public Company Cybersecurity Disclosures](#)

IAPD provides information on Investment Adviser firms regulated by the SEC and/or state securities regulators

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Sec Guidelines For Public Disclosure | www.uppercasing The Securities and Exchange Commission recently adopted amendments to modernize and simplify disclosure requirements for public companies. The changes made will have a broad impact on many rules and forms, primarily by amending Regulation S-K. [SEC.gov | Disclosure Guidance](#)

Although the 2011 Guidance made no mention of officers, directors, or risk management, it did clearly focus on the need for public companies to disclose cyber risks and their related impact within the existing disclosure framework. Now, the SEC as a whole has decided to speak. What has changed over the past seven years?

[SEC.gov | Investment Adviser Public Disclosure \(IAPD\)](#)

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[Guidelines on reporting and public disclosure - EIOPA](#)

Division of Corporation Finance Securities and Exchange Commission CF Disclosure Guidance: Topic No. 9A Date: June 23, 2020. Summary: This guidance provides additional views of the Division of Corporation Finance regarding operations, liquidity, and capital resources disclosures companies should consider with respect to business and market disruptions related to COVID-19.