

Hot Topics

Member Workshop



Digital Assets



- Repeal of Interpretive Notice 9073
- Tokenized collateral
- Exam expectations
- Monitoring legislation and potential impacts

Event Contracts/Prediction Markets



- Cleared swaps; fully collateralized contracts
- Relevant rules and regulations
- Areas of focus on examinations
- NFA Comment Letter

24/7 Trading



- Joint Audit Committee Regulatory Alert #26-01
- NFA Comment Letter

Artificial Intelligence



- Relevant rules
- Exam expectations
- NFA's use of A.I.

Digital Engagement



- Use of social media platforms and third parties to generate new business
- Interaction with retail customers
- NFA's promotional material pre-review program

Rule Updates



- CPO/CTA financial ratios removed from PQRs and PRs
- NFA Compliance Rule 2-45
- Member Questionnaire attestations
- Branch office managers

Other Regulatory Changes



- Designated fingerprinting service provider—effective October 1, 2026
- Re-launch of security futures products

Q&A

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