

1. Record Nr.	UNINA9910788286603321
Titolo	United States : : Financial Sector Assessment Program-Detailed Assessment of Implementation on the IOSCO Objectives and Principles of Securities Regulation
Pubbl/distr/stampa	Washington, D.C. : , : International Monetary Fund, , 2015
ISBN	1-4755-5800-7 1-4755-5746-9
Descrizione fisica	1 online resource (249 p.)
Collana	IMF Staff Country Reports
Disciplina	332.152
Soggetti	Securities - United States Capital market - United States Financial institutions - State supervision - United States Financial institutions - United States - Accounting Financial institutions - United States - Auditing Investments: General Investments: Stocks Money and Monetary Policy Public Finance Business and Financial General Financial Markets: General (includes Measurement and Data) Monetary Policy, Central Banking, and the Supply of Money and Credit: General Auditing Pension Funds Non-bank Financial Institutions Financial Instruments Institutional Investors Corporation and Securities Law Investment & securities Monetary economics Management accounting & bookkeeping Financial services law & regulation Securities Credit ratings Stocks Securities regulation Financial institutions Money

Public financial management (PFM)
Financial regulation and supervision
Financial instruments
Nonbank financial institutions
Law and legislation
United States Economic policy
United States

Lingua di pubblicazione	Inglese
Formato	Materiale a stampa
Livello bibliografico	Monografia
Note generali	Description based upon print version of record.
Nota di contenuto	Cover; CONTENTS; GLOSSARY; EXECUTIVE SUMMARY; INTRODUCTION; INFORMATION AND METHODOLOGY USED FOR ASSESSMENT; INSTITUTIONAL AND MARKET STRUCTURE-OVERVIEW; A. Regulatory Structure; B. Market Structure; TABLES; 1. Key Equity Market Information; 2. Investment Company Total Net Assets by Type; 3. Institutional and Retail Ownership of Mutual Funds; 4. Number of Commodity Pool Operators and their AUM; 5. Registered Broker-Dealers; 6. SEC Registered Investment Advisers; PRECONDITIONS FOR EFFECTIVE SECURITIES REGULATION 7. Derivatives Market Intermediaries Registered with the CFTC MAIN FINDINGS; SUMMARY IMPLEMENTATION OF THE IOSCO PRINCIPLES; 8. Summary Implementation of the IOSCO Principles-Detailed Assessments; RECOMMENDED ACTION PLAN AND AUTHORITIES' RESPONSE; 9. Recommended Action Plan to Improve Implementation of the IOSCO Principles; C. Authorities' Response to the Assessment; DETAILED ASSESSMENT; 10. Detailed Assessment of Implementation of the IOSCO Principles
Sommario/riassunto	This paper discusses key findings of the Detailed Assessment of Implementation of the IOSCO (International Organization of Securities Commissions) Objectives and Principles of Securities Regulation on the United States. The United States has large, well-developed, and complex securities and derivatives markets. Postcrisis, the legal mandates of the Securities and Exchange Commission (SEC) and the Commodity Futures Trading Commission (CFTC) have significantly expanded. The level of funding of both the SEC and CFTC is a key challenge affecting their ability to deliver on their mandates in a way that provides confidence to markets and investors. The fragmented structure of equity markets remains a key challenge for the SEC.