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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.