All Content Dashboard

LAWS AND REGULATIONS
Full US Code, CFR, and comprehensive 50 State Laws & Regs

PRACTICAL CONTENT
Tools, Analysis, Smart Charts, Smart Tasks, Answer Books, Calculators, and Forms

USER MENU
View account information, set default Home Page or Log Out.

NEWS
Sign up for email delivery of Dailies, Newsletters, and Treatise Updates.

SESSION NAVIGATOR
Move between Practice Areas.

TITLES
Browse or search an alphabetized list of all the titles included in your subscription.

PRACTICE AREAS
Access content grouped by category.

MY HISTORY
Your recently viewed documents.

VitalLaw™

Home | ALL CONTENT

Search Within All Content

Laws & Regulations | Practical Content | Titles | Favorites ★ | History ▾ | Folders ▾ | Saved Items ▾ | News ▾

? | MY SOLUTIONS ••• | GIVE FEEDBACK

Advanced Search

PRACTICE AREAS

Antitrust & Competition	Payroll & Entitlements
Banking & Consumer Finance	Pension & Employee Benefits
Bankruptcy	Practice of Law
Blockchain & Virtual Currencies	Products Liability & Insurance
Blue Chip	Property & Construction Law
COVID-19 Resources	Scion Reference Publications
Cybersecurity & Privacy	Securities - All
Elder & Estates Law	Securities - Corporation Law & Governance
Energy & Environment	Securities - Federal & International
Family Law	Securities - State
Government Contracts	Sexual Harassment & Workplace Compliance
Health Reform Knowledge Center	Tax - All
Healthcare	Tax - Estates, Gifts & Trusts
Human Resources	Tax - Federal
Intellectual Property	Tax - International
IP - WK Trademark Navigator	Tax - State & Local
Kluwer International Tax Law	Technical Answer Group - TAG
Labor & Employment Law	Telecommunications
Life Sciences	Transportation
Litigation	

THE BIDEN AGENDA

Sprinting to 100-day mark, White House shifts regulatory landscape

Biden inauguration heralds regulatory reset

Biden victory signals abrupt U-turn in federal regulatory direction, priorities

FAVORITES

★ Federal Securities Law Reporte...requirements of section 10.
★ Federal Securities Law Reporte... Rep. ¶100,532, (Aug. 5, 2019)
★ Federal Securities Law Reporte...Rep. ¶101,088, (Apr. 10, 2021)
★ Standard Federal Tax Reporter,...by Code Section Smart Chart

SEE ALL

MY HISTORY

Federal Securities Law Reporte...requirements of section 10.	11 minutes ago
SEARCH: advertising investment company	13 minutes ago
Federal Securities Law Reporte... Rep. ¶100,532, (Aug. 5, 2019)	3 days ago
Federal Securities Law Reporte...Rep. ¶101,088, (Apr. 10, 2021)	3 days ago

SEE ALL

WHITE PAPERS & SPECIAL REPORTS

NEED HELP?

Practice Area Dashboard

HISTORY
Access documents and searches from prior research.

FOLDERS
Organize your research findings in folders.

SEARCH TIPS
Use operators, connectors and wildcards in searches.

PRACTICE TOOLS
Compare topics across jurisdictions, perform calculations, navigate to topics, etc.

CUSTOMIZE
Select which items you want to see, within each group, on your dashboard.

SEE ALL
View all titles available under the category.

NEWS HEADLINES
Receive breaking news alerts plus a daily report of court decisions and legislative and regulatory developments.

Search Results

RECORD KEEPING OPTIONS
Select documents to Add (Folders or Favorites), Print, Email, Download.

OPEN IN NEW TAB
Check the box to view a document in a new browser tab.

SAVED ITEMS
View your saved searches, notes & highlights, and favorites.

SORT BY
Arrange search results by Relevance, Date, or Document type.

FILTERS
Refine search results by Document type, Court, Jurisdiction and more.

COLOR-CODED RESULTS
Find document types quickly and easily.

Screenshot content

VitalLaw™

SECURITIES - FEDERAL & INTERNATIONAL

Home | Laws & Regulations | Practical Content | Titles | Favorites ★ | History | Folders | Saved Items | News

securities based swap agreement — Search here within the 1,298 results for "securities based swap agreement"

Advanced Search

FILTER RESULTS

- TOPICS
  + Governance & Compliance
  + Litigation & Enforcement Issues
  + Transactions & Activities

- DOCUMENT TYPE
  - Treatises (43)
  - Explanations and Annotations (43)
    + Show subtypes
  - News and Blogs (150)

  Show All

- TREATISE TITLE
  - Derivatives Regulation - Johnson, Hazen, Ervin, Mills, and Trkla (18)
  - Securities Regulation - Loss, Seligman and Paredes (16)
  - Fundamentals of Securities Regulation - Loss, Seligman and Paredes (6)

  Show All

- GOVERNING ACTS
  - Securities Act of 1933 (87)
  - Securities Exchange Act of 1934 (387)
  - Trust Indenture Act of 1939 (11)

  Show All

1,297 results for "securities based swap agreement"

SHARE THIS SEARCH | SAVE THIS SEARCH

Open In New Tab | SORT BY RELEVANCE

1. 240.3a-68-1 et seq. – Further Definition of Swap, Security-Based Swap, and **Security-Based Swap Agreement**; Mixed Swaps; **Security-Based Swap Agreement** Recordkeeping
Securities Exchange Act of 1934 Rules
FINAL AND TEMPORARY REGULATIONS

2. Commodity Futures Law Reporter, Commodity Futures Trading Commission, 17 CFR Parts 230, 240 and 241 Further Definition of "Swap," "Security-Based Swap," and "Security-Based Swap Agreement"; Mixed Swaps; Security-Based Swap Agreement Recordkeeping [Joint Final Rule], ¶32,275, (Aug. 13, 2012)
RULINGS
Issued August 13, 2012
Commodity Futures Trading Commission

...Further Definition of "Swap," "Security-Based Swap," and "Security-Based Swap Agreement"; Mixed Swaps; Security-Based Swap Agreement Recordkeeping;... Further Definition of "Swap," "Security-Based Swap," and "Mixed Swaps; Security-Based Swap Agreement Recordkeeping ... See Further Definition of Swap, Security-Based Swap, and Security-Based Swap Agreement ; Mixed Swaps; Security-Based Swap Agreement Recordkeeping, 76 FR 29818 (May 23, 2011) (Proposing Release). ...

3. Dodd-Frank Wall Street Reform and Consumer Protection Act: Law, Explanation and Analysis (July 2010), ACT SEC. 762. REPEAL OF PROHIBITION ON REGULATION OF SECURITY-BASED SWAP AGREEMENTS.
PRIMARY SOURCE IN TREATISE

... REPEAL OF PROHIBITION ON REGULATION OF SECURITY-BASED SWAP AGREEMENTS. [Historical material. Published July 2010, upon enactment of legislation.] Repeal Sections 206B and 206C of the Gramm-Leach-Bliley Act (Public Law 106-102; 15 U.S.C. 78c note) are repealed. ...of transactions in any security registered on a national securities exchange, any security not so registered, or in connection with any security-based swap or security-based swap agreement with respect to such security creating actual or apparent active trading in such security, or raising or depressing the price of such security, for the purpose... in subsection (a)(3)(B), by inserting or security-based swaps after security-based swap agreement ; in the first sentence of subsection (b), by striking (as defined in section 206B of the Gramm-Leach-Bliley Act) ; ...

4. Federal Securities Law Reporter, 2010 Dodd-Frank Act Sec. 762, REPEAL OF PROHIBITION ON REGULATION OF SECURITY-BASED SWAP AGREEMENTS. [15 USC 78c]
ACTS AND STATUTES

... REPEAL OF PROHIBITION ON REGULATION OF SECURITY-BASED SWAP AGREEMENTS. [15 USC 78c] Repeal Sections 206B and 206C of the Gramm-Leach-Bliley Act (Public Law 106-102; 15 U.S.C. 78c note) are repealed. ...of transactions in any security registered on a national securities exchange, any security not so registered, or in connection with any security-based swap or security-based swap agreement with respect to such

Document View

HIGHLIGHT SEARCH TERMS
Turn search term highlights off or on and navigate through terms using arrow buttons.

RESULTS
Move to the previous or next document in the search results list.

DOCUMENT PANEL
Click each icon for additional options.

CONTENTS
Browse through contents in publication order.

INFORMATION
Details about the document, including Source, Citations, Version, Jurisdiction, etc.

FOOTNOTES
Quickly access all document footnotes without scrolling.

HISTORY
View amendment details for selected laws and regulations plus Citator for tax cases and rulings.

CONTENTS
View the previous or next document in the Contents menu.

VitalLaw™

Home   BANKING & CONSUMER FINANCE ▾   Laws & Regulations   Practical Content   Titles   Favorites ★   History ▾   Folders ▾   Saved Items ▾   News ▾

‹ Search Results | Banking & Consumer Finance > Rules & Regulations
Federal Banking Law Reporter Regulations

Common equity tier 1 capital

Advanced Search

CONTENTS

Federal Banking Law Reporter Regulations

⊟ COMPTROLLER OF THE CURRENCY REGULATIONS
⊞ Part 1—Investment Securities Regulation
⊞ Part 2—Sales of Credit Life Insurance
⊟ Part 3—Capital Adequacy Standards
In General
⊞ Subpart A—General Provisions
⊞ Subpart B—Capital Ratio Requirements and Buffers
⊟ Subpart C—Definition of Capital
   12 CFR §3.20, Capital components and eligibility criteria for regulatory capital instruments.
   12 CFR §3.21, Minority interest.
   12 CFR §3.22, Regulatory capital adjustments and deductions.
   §§3.23 — 3.29, [Reserved]
⊞ Subpart D—Risk-Weighted Assets— Standardized Approach
⊞ Subpart E—Risk-Weighted Assets— Internal Ratings-Based and Advanced Measurement Approaches
⊞ Subpart F—Risk-Weighted Assets— Market Risk
⊞ Subpart G—Transition Provisions
⊞ Subpart H —Establishment of Minimum Capital Ratios for an Individual Bank or Individual Federal Savings Association
⊞ Subpart I—Enforcement

☑ Highlight search terms   « »   ← Results →   ← Contents →

Subpart C—Definition of Capital

12 CFR §3.20, Office of the Comptroller of the Currency, Capital components and eligibility criteria for regulatory capital instruments.

(a) *Regulatory capital components.*—A national bank or Federal savings association's regulatory capital comp...

(1) Common equity tier 1 capital;

(2) Additional tier 1 capital; and

(3) Tier 2 capital.

(b) *Common equity tier 1 capital.*—Common equity tier 1 capital is the sum of the common equity tier 1 capital elements in this paragraph (b), minus regulatory adjustments and deductions in §3.22. The common equity tier 1 capital elements are:

(1) Any common stock instruments (plus any related surplus) issued by the national bank or Federal savings association, net of treasury stock, and any capital instruments issued by mutual banking organizations, that meet all the following criteria:

(i) The instrument is paid-in, issued directly by the national bank or Federal savings association, and represents the most subordinated claim in a receivership, insolvency, liquidation, or similar proceeding of the national bank or Federal savings association;

(ii) The holder of the instrument is entitled to a claim on the residual assets of the national bank or Federal savings association that is proportional with the holder's share of the national bank or Federal savings association's issued capital after all senior claims have been satisfied in a receivership, insolvency, liquidation, or similar proceeding;

(iii) The instrument has no maturity date, can only be redeemed via discretionary repurchases with the prior approval of the OCC, and does not contain any term or feature that creates an incentive to redeem;

Wolters Kluwer