

*Virtual Meeting  
(in lieu of meeting at 2020 Fall National Meeting)*

**MARKET REGULATION CERTIFICATION (D) WORKING GROUP**

**Thursday, November 12, 2020**

**3:00 – 4:00 p.m. ET / 2:00 – 3:00 p.m. CT / 1:00 – 2:00 p.m. MT / 12:00 – 1:00 p.m. PT**

**Summary Report**

The Market Regulation Certification (D) Working Group met Nov. 12, 2020. During this meeting, the Working Group:

1. Adopted its Oct. 19 minutes, which included the following action:
  - a. Adopted its Sept. 9 minutes.
  - b. Discussed the Pass and Fail metrics for the Voluntary Market Regulation Certification Program. The Pass and Fail metrics divided the checklist questions into three color-coded categories: 1) red for mandatory; 2) yellow for non-mandatory; and 3) green for supporting questions.
2. Discussed the revisions and comments received on the Voluntary Market Regulation Certification Program. It was agreed to revise the program guidelines to match the scoring matrix color-coding scheme.

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