

## CMF publishes for consultation regulations on submission of information for securities intermediaries, commodity exchange brokers

- *These proposals establish the means and timeframes for supervised entities to submit their information for supervisory purposes.*

**June 1, 2026** — The Financial Market Commission (CMF) published for consultation today the following Regulatory File proposals:

1. **Submission of monthly information to determine entity classification into turnover brackets (1, 2, or 3).** This classification is the basis for applying proportionality criteria in compliance with General Rules No. 510 on operational risk management for securities market entities; No. 528 on corporate governance and risk management for securities intermediaries and commodity brokers; and No. 562 on minimum capital, guarantees, liquidity, and indebtedness for securities intermediaries and commodity brokers.
2. **Submission of monthly and daily reports on minimum capital, collateral, liquidity, and indebtedness.** This is to monitor compliance with the provisions stated in General Rule No. 562, as mentioned above.

The [Regulatory File](#) governing turnover blocks becomes effective on September 1, 2026, and the first submission of information must be made in October 2026.

Furthermore, the proposal on the [Regulatory Files](#) for compliance with General Rule No. 562 sets them to become effective on March 1, 2027, and the first submission of information for April 1, 2027. This allows entities enough time to implement the necessary changes.

The public consultation will remain open through June 26, 2026. Details of both proposals are available in the “[Regulations Under Consultation](#)” section of the CMF website. The CMF also makes available the corresponding Regulatory Report with both proposals' core elements.

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Communication & Image Area — Financial Market Commission (CMF)

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