CMF issues regulation on submission of information for Securities Intermediaries, Commodity Exchange Brokers

The regulation establishes the means, timeframe, and method for these entities to submit their business volume information with the aim of establishing proportional corporate governance, risk management, and solvency requirements.

November 5, 2026 — After a public consultation process, the Financial Market Commission (CMF) issued today a regulation amending General Rule No. 571 to impart instructions regarding the submission of information by securities intermediaries and commodity exchange brokers about their business volume and number of clients.

The regulation sets forth the 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 the following issues:

- Corporate governance and risk management (Section III of General Rule No. 571).
- Operational risk management (General Rule No. 510).
- Minimum capital, guarantees, liquidity, and indebtedness (Section I, Chapter 3 of General Rule No. 571).

This regulation becomes effective on January 1, 2027, and the first submission of information must be carried out within the first 10 business days of February 2027.

The regulation is available in the **Regulations section** of the CMF website. The CMF also published the corresponding Regulatory Report with its core elements and impact assessment.

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