

Yale University

## EliScholar – A Digital Platform for Scholarly Publishing at Yale

---

YPFS Documents (Series 1)

[Browse by Media Type](#)

---

2019

### **IOSCO Objectives and Principles of Securities Regulation and the IOSCO Assessment Methodology**

The International Organization of Securities Commissions (IOSCO)

Follow this and additional works at: <https://elischolar.library.yale.edu/ypfs-documents>

---

#### **Recommended Citation**

The International Organization of Securities Commissions (IOSCO), "IOSCO Objectives and Principles of Securities Regulation and the IOSCO Assessment Methodology" (2019). *YPFS Documents (Series 1)*. 8894.

<https://elischolar.library.yale.edu/ypfs-documents/8894>

This Document is brought to you for free and open access by the Browse by Media Type at EliScholar – A Digital Platform for Scholarly Publishing at Yale. It has been accepted for inclusion in YPFS Documents (Series 1) by an authorized administrator of EliScholar – A Digital Platform for Scholarly Publishing at Yale. For more information, please contact [elischolar@yale.edu](mailto:elischolar@yale.edu).



keyword search

Capacity Building  
Online ToolkitIFRS  
Database

Forums

IOSCO Asia  
Pacific Hub

Members Area

ABOUT IOSCO

MEDIA ROOM

PUBLICATIONS

INVESTOR PROTECTION

TRAINING

EVENTS

RESEARCH

**Assessment Committee**

What is AC and what does it do?

Benefits of Participation in AC's Programs

Scope of AC's Programs

Processes

Evaluations

Road Maps

Presentations made by AC

Members

Meetings

Documents

## IOSCO Objectives and Principles of Securities Regulation and the IOSCO Assessment Methodology

The IOSCO Objectives and Principles of Securities Regulation sets out 38 Principles of securities regulation, which are based upon three Objectives of securities regulation. These are:

- protecting investors;
- ensuring that markets are fair, efficient and transparent;
- reducing systemic risk.

The [IOSCO Assessment Methodology](#) is designed to provide IOSCO's interpretation of its [Objectives and Principles of Securities Regulation](#) ("Principles") and give guidance on the conduct of a self-assessment or third-party assessment of level of Principles implementation.

**IOSCO Taxonomy**

IOSCO Taxonomy

**Capacity Building for Self-Assessments**

Capacity Building  
Materials

[IOSCO Objectives and Principles of Securities Regulation and the IOSCO Assessment Methodology](#)

**ITF Sub-Committee**

Mandate of ITF SC

Responsibilities of ITF SC

Activities of ITF SC

Members

Meetings

Documents

**Related Links**

E-methodology

Contact Assessment  
Committee / ITF SC

**About IOSCO**

Who We Are

Annual Report 2019

**Terms and Conditions**

Copyright and Permissions

Disclaimers

[Becoming a Member](#)

[Careers](#)

[Contact Us](#)

Copyright © OICV-IOSCO 2020 All rights reserved

**Follow Us**

