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recently adopted rules

regulator	release date	release no.	description
FINRA	10/22/2007	SR-FINRA-2007-013	FINRA has amended the short sale delivery requirements of NASD Rule 3210 in light of the amendments to Rule 203 of Regulation SHO.
NASDAQ	10/22/2007	SR-NASDAQ-2007-081	NASDAQ has established fees for a new real-time surveillance alert and report module to assist Nasdaq member firms with their Reg NMS compliance.
OCC	10/22/2007	SR-OCC-2007-12	OCC has amended its rules to permit the settlement of leveraged options on Leveraged ETF Shares.
FINRA	10/19/2007	SR-FINRA-2007-005	The SEC has approved FINRA's amendments to NASD and NYSE rules regarding the transfer of customer accounts to shorten the period in which the carrying member can object to an instruction to transfer the customer account from three business days to one.
FINRA	10/17/2007	SR-NASD-2007-017	FINRA is proposing to amend its trade reporting rules to eliminate the ".RO" modifier on odd-lot transactions as well as to require that members report odd-lot transactions for publication.

proposed rules

regulator	release date	release no.	description
FINRA	10/25/2007	SR-NYSE-2007-96	NYSE is proposing to eliminate index arbitrage trading restrictions from Rule 80A.

notices to members

regulator	release date	release no.	description
NYSE	10/23/2007	NYSE-IM-07-103	NYSE is informing its members of amendments to its rules regarding compensation for system outages.
FINRA	10/22/2007	NYSE-IM-07-102	NYSE is informing its members of amendments to Rule 2, requiring FINRA membership as a prerequisite to NYSE membership.

enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
FINRA	10/25/2007	UBS Financial Services	UBS Financial Services fined \$370,000 in connection with reporting of customer complaints, regulatory action, and broker information to the CRD.

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