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recently adopted rules

regulator	release date	release no.	description
SEC	12/6/2007	Release No. 33-8869	The SEC is shortening the holding period requirement under Rule 144 for "restricted securities" of issuers that are subject to the reporting requirements of the Securities Exchange Act of 1934 to six months; eliminating the presumptive underwriter provision in Securities Act Rule 145, except for transactions involving a shell company; and revising the resale requirements in Rule 145(d).
SEC	12/4/2007	Release No. 34-56893	Joint Industry Plan; Notice of Summary Effectiveness on a temporary basis of Joint Amendment No. 25 to the Plan for the purpose of creating and operating an intermarket option linkage relating to response time for certain orders sent through the linkage, and notice of filing of such amendment.
SEC	12/3/2007	SR-OCC-2007-13	Notice of filing and order granting accelerated approval of a proposed rule change relating to delayed start options.
SEC	11/30/2007	SR-OCC-2007-08	Order granting approval of a proposed rule change relating to binary options.
SEC	11/29/2007	SR-NASDAQ-2007-065	Notice of filing and immediate effectiveness of proposed rule change to conform SRO Rules to changes to Rule 10a-1 and Regulation SHO.

proposed rules

regulator	release date	release no.	description
FINRA	12/5/2007	SR-FINRA-2007-026	FINRA filed a proposed rule change to adopt a FINRA policy to expand disseminated Transaction Reporting and Compliance Engine (TRACE) data.

FINRA

11/27/2007

[SR-FINRA-2007-024](#)

FINRA filed a proposed rule change to (1) amend NASD Rule 2320 to update members' best execution obligations involving interpositioning, and (2) amend NASD Rules 3110(b), 6750(b), and IM-2320 to reflect the redesignation of certain paragraphs in Rule 2320.

notices to members

regulator	release date	release no.	description
SEC	11/28/2007	Speech by Gadziala	Mary Ann Gadziala, Associate Director, OCIE, regarding "Risk Management for Broker-Dealers."

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