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proposed rules

regulator	release date*	release no.	description
FINRA	3/20/2009	SR-FINRA-2009-008	FINRA has proposed to amend Forms U4 and U5 as well as the FINRA BrokerCheck Disclosure.

* With regard to rule proposals of SROs, the date represented is the date of the SEC release seeking comment except where the SEC has not yet published the rule for comment, in which case it is the date the SRO submitted the proposal to the SEC.

enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
FINRA	3/25/2009	Morgan Stanley	Fined \$7.2 million in connection with early retirement investment promotion.
FINRA	3/24/2009	Wachovia Securities and First Clearing	Fined \$1.1 million in connection with providing required notifications to customers.
FINRA	3/23/2009	25 Firms	Fined a total of \$2.1 million related to their completion of FINRA's firm self-assessment of mutual fund breakpoint discount compliance.

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