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recently adopted rules

regulator	release date	release no.	description
FINRA	4/20/2009	SR-FINRA-2009-009	FINRA has adopted NASD IM-1000-1 as FINRA Rule 1122 in the consolidated FINRA rulebook regarding the filing of misleading membership information.

proposed rules

regulator	release date*	release no.	description
FICC	4/20/2009	SR-FICC-2009-003	The Treasury Market Practices Group, through the FICC, has called for the adoption of a "best practice" that would call for the marketwide assessment of a charge on fail-to-deliver positions.

* 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.

notices to members

regulator	release date	release no.	description
FINRA	4/22/2009	Regulatory Notice 09-22	FINRA has requested comment on a proposed consolidated rule regarding personal securities transactions of associated members.

enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
SEC	4/22/2009	Hennessee Group	The SEC has charged an investment adviser that recommended investments in the Bayou Fund to its clients with securities law violations.

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