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### recently adopted rules

regulator	release date	release no.	description
<b>SEC</b>	4/29/2009	<a href="#">Release No. 34-59829</a>	The SEC is amending its rules to delegate to the General Counsel its authority to designate officers in authorized investigations conducted by the Office of General Counsel.
<b>SEC</b>	4/29/2009	<a href="#">SEC Release</a>	Mutual funds must provide the risk/return summary section of their prospectuses to the Commission and on their websites, if they maintain one, in interactive data format using eXtensible Business Reporting Language or XBRL.

### proposed rules

regulator	release date*	release no.	description
<b>FINRA</b>	4/28/2009	<a href="#">SR-FINRA-2009-011</a>	FINRA is proposing to amend the Industry Code of Arbitration Procedure to change the criteria for determining the panel composition when the claim involves an associated person in industry disputes.

\* 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
<b>SEC</b>	4/30/2009	<a href="#">2009-100</a>	The SEC has set its fee rates for FY 2010.
<b>FINRA</b>	4/27/2009	<a href="#">Press Release</a>	FINRA is proposing an expansion of its BrokerCheck service to make records of final regulatory actions against brokers permanently available to the public, regardless of whether the brokers continue to be employed in the securities industry.

## enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
<b>SEC</b>	4/30/2009	<a href="#">Citigroup investment banker</a>	The SEC charged a Citigroup investment banker for tipping family members about upcoming merger deals.
<b>FINRA</b>	4/28/2009	<a href="#">Centaurus Financial</a>	Fined \$175,000 for failure to protect confidential customer information.

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