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recently adopted rules

regulator	release date	release no.	description
FINRA	6/17/2009	SR-FINRA-2009-015	The SEC has approved FINRA Rule 13806 establishing procedures to expedite the administration of arbitrations in which a member's only claim is that an associated person failed to pay money owed on a promissory note.
FINRA	6/15/2009	SR-FINRA-2007-009	The SEC has approved FINRA's amendments to Rule 2720 governing the distribution of securities of members and affiliates.

proposed rules

regulator	release date*	release no.	description
FINRA	6/15/2009	SR-FINRA-2009-039	FINRA proposes to adopt the NASD Anti-Money Laundering rules in the Consolidated Rulebook as Rule 3310.

* 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	6/17/2009	Regulatory Notice 09-34	FINRA is requesting comment on a proposed consolidated rule governing the sales of investment company securities which would amend cash and noncash compensation provisions of the existing rules.

enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
SEC	6/16/2009	Bernard Madoff	The SEC has issued a lifetime bar from the securities industry to Bernard Madoff.

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