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### recently adopted rules

regulator	release date	release no.	description
<b>SRO</b>	8/13/2008	<a href="#">File No. 4-566</a>	The self-regulatory organizations have promulgated a plan dividing responsibilities for detection of insider trading between the NYSE and FINRA.
<b>NSCC</b>	8/12/2008	<a href="#">SR-NSCC-2007-15</a>	The SEC has approved NSCC's rule change establishing admission criteria that will permit well-qualified foreign entities to become NSCC members, thereby obtaining direct access to NSCC's services.
<b>FINRA</b>	8/8/2008	<a href="#">SR-FINRA-2008-016</a>	FINRA has amended Rule 6620 to align the reporting requirements for OTC equity transactions involving foreign securities with the reporting requirements for other OTC equity transactions, to align with the dissemination protocols for all last sale reports of OTC equity transactions.
<b>NYSE</b>	8/7/2008	<a href="#">SR-NYSE-2008-45</a>	The SEC has approved NYSE's amendments to Rule 98 redefining specialist operations at the Exchange.

### enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
<b>SEC</b>	8/08/2008	<a href="#">UBS Securities LLC</a>	The SEC has agreed to a preliminary settlement with UBS with respect to auction rate securities.

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