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notices to members

regulator	release date	release no.	description
FINRA	8/26/2008	Information Notice	FINRA is informing its members of the new Options Disclosure Document and the means by which members can distribute it.
FINRA	8/25/2008	Regulatory Notice 08-45	FINRA will begin a new method of deducting delinquent mediation and arbitration proceedings fees from members' CRD accounts.
FINRA	8/22/2008	Regulatory Notice 08-44	FINRA is informing its members of SEC approval of amendments to arbitration rules regarding chairperson eligibility requirements.

enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
SEC	8/22/2008	Merrill Lynch Pierce Fenner & Smith	Merrill Lynch has agreed to a preliminary settlement in connection with sales of auction rate securities.

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