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recently adopted rules

regulator	release date	release no.	description
NYSE	8/27/2008	SR-NYSE-2008-71	NYSE proposes to amend Rule 123B (Exchange Automated Order Routing System) to allow a member organization to provide other market participants with access to the exchange on an agency basis. This rule is effective immediately.

notices to members

regulator	release date	release no.	description
SEC	9/02/2008	2008-186	SEC announces summit to help senior investors protect assets. The summit will be held at the SEC's Washington, D.C. headquarters on September 22, 2008.

enforcement actions of interest

regulator	release date	parties	description of penalty and allegations
FINRA	9/03/2008	Barron Moore	FINRA expelled Barron Moore, Inc. and took disciplinary actions against seven individuals for alleged illegal sales of unregistered penny stocks. The sanctions issued by FINRA ranged from fines and suspensions to permanent industry bars.

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