



## MSRB Regulatory Notices 2010-2011

Full Title	Publication Date	Notice Number	Rule Number	Notice Type
Rule Changes Filed With SEC Regarding Qualification as a Municipal Securities Representative and Information Concerning Associated Persons	9/13/2011	2011-54	Rule G-3 Rule G-7	Regulatory Announcement
MSRB Files Proposed Rule Change with SEC to Extend the Effective Date of Amendments to EMMA to Provide Credit Ratings and Related Information for Municipal Securities on EMMA	9/12/2011	2011-53		Regulatory Announcement
Potential Applicability of MSRB Rules to Certain "Direct Purchases" and "Bank Loans"	9/12/2011	2011-52	Rule A-13 Rule G-3 Rule G-14 Rule G-17 Rule G-32 Rule G-34 Rule G-37	Regulatory Announcement
MSRB Withdraws Pending Municipal Advisor Rule Proposals	9/12/2011	2011-51	Rule A-11 (proposed) Rule G-36 (proposed) Rule G-42 (proposed) Rule G-44 (proposed)	Regulatory Announcement

Request for Comment on Revised Draft Rule G-43 (On Broker's Brokers), Associated Revised Draft Amendments to Rule G-8 (On Books and Records) and Rule G-9 (On Preservation of Records), and Draft Interpretive Notice on the Obligations of Dealers that Use the Services of Broker's Brokers

9/08/2011

2011-50

Rule G-43  
(proposed)  
Rule G-8  
Rule G-9

Request for  
Comment

MSRB Files Interpretive Notice Concerning the Application of MSRB Rule G-17 to Municipal Advisors Advising Obligated Persons or Soliciting Municipal Entities on Behalf of Others

8/24/2011

2011-49

Rule G-17

Regulatory  
Announcement

MSRB Files Municipal Advisor Fiduciary Duty Rule and Interpretive Notice

8/23/2011

2011-48

Rule G-36  
(proposed)

Regulatory  
Announcement

MSRB Files Rule G-44 (On Supervision of Municipal Advisory Activities) and Associated Amendments to Rule G-8 (On Books and Records) and G-9 (On Preservation of Records)

8/22/2011

2011-47

Rule G-44  
(proposed)  
Rule G-8  
Rule G-9

Regulatory  
Announcement

MSRB Files Pay to Play Rule for Municipal Advisors and Changes to Dealer Pay to Play Rule

8/19/2011

2011-46

Rule G-42  
(proposed)  
Rule G-8  
Rule G-9

Regulatory  
Announcement

Amendments Filed Regarding MSRB Rule G-20 on Gifts and Gratuities

8/04/2011

2011-38

Rule G-20  
Rule G-8  
Rule G-9

Regulatory  
Announcement


Interpretive Guidance Concerning the Application of MSRB Rule G-17 to Underwriters of Municipal Securities

8/02/2011

2011-36

Rule G-17

Regulatory  
Announcement



Securities and Exchange Commission Approves Amendments to MSRB Rule G-23 Relating to the Activities of Financial Advisors	5/31/2011	2011-29	Rule G-23	Regulatory Announcement
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Notice on Upcoming Changes to Rule G-34(c) to Require Dealer Submission of ARS and VRDO Documents to the SHORT System	2/23/2011	2011-17	Rule G-34	Regulatory Announcement
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MSRB Files Amendments to Rule A-15 Relating to Notification to Board of Change in Status or Change of Name and Address	2/14/2011	2011-15	Rule A-15 Rule A-12	Regulatory Announcement
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Reminder of February 14 Effective Date for Amendments to Rule G-32 Related to Submission of Information About Continuing Disclosure Undertakings	2/07/2011	2011-08	Rule G-32	Regulatory Announcement
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MSRB Reminds Firms of Their Sales Practice and Due Diligence Obligations When Selling Municipal Securities in the Secondary Market	9/20/2010	2010-37	Rule G-17 Rule G-19 Rule G-27 Rule G-30	Regulatory Announcement
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