

ATTACHMENT A

New language is underlined; deletions are in brackets.

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3200. RESPONSIBILITIES RELATING TO ASSOCIATED PERSONS

3210. Accounts At Other Broker-Dealers and Financial Institutions

(a) through (c) No Change.

• • • Supplementary Material: -----

.01 through .02 No Change.

.03 Transactions and Accounts Not Subject To This Rule. The requirements of this Rule shall not apply to transactions in unit investment trusts, municipal fund securities as defined under MSRB Rule D-12, qualified tuition programs pursuant to Section 529 of the Internal Revenue Code and variable contracts or redeemable securities of companies registered under the Investment Company Act, as amended, or to accounts that are limited to transactions in such securities, or to Monthly Investment Plan type accounts or accounts pursuant to Section 530A of the Internal Revenue Code.

.04 through .05 No Change.

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