| | | | | | | OMB APPROVAL | |
|--|--|---|-------------------------|--|--|--|--|
| WASHINGTON, D. C. 20549 Amendment No Proposed Rule Change by Financial Industry Regulatory Authority Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934 Initial Amendment Withdrawal Section 19(b)(2) Section 19(b)(3)(A) Pilot Extension of Time Period Date Expires Initial Or -30-2008 Image Action 19(b)(2) Section 19(b)(3)(A) Entent 2 Sent As Paper Document Image Action 19(b)(2) Section 19(b)(3)(B) Provide a brief description Provide a brief description of the proposed rule change (limit 250 characters). First Name Margo Last Name Hassan Title Counsel Exclamate Action 1927-4761 Signature Imago hassan@finra.org Imago hassan@finra.org Telephone (2) 858-4481 Fax (301) 527-4761 Signature Vice President and Chief Counsel, FINRA Dispute By Jean 1. Feeney Vice President and Chief Counsel, FINRA Dispute (Name) Vice President and Chief Counsel, FINRA Dispute Counsel Vice President and Chief Counsel, FINRA Dispute | | | | | | Expires: June 30, 2007 Estimated average burden | |
| Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934 Initial Amendment Withdrawal Section 19(b)(2) Section 19(b)(3)(A) Section 19(b)(3)(A) Pilot Extension of Time Period Date Expires Rule Imited of Commission Action Date Expires Pilot 19b-40(10) 19b-40(10) Imited of Commission Action Date Expires Imited of Commission Action Imited of Commission Action Imited of Commission Action Date Expires Imited of Commission Action Imited of Commission Action Provide 3 Sent As Paper Document Exhibit 3 Sent As Paper Document Imited of Commission Action Imited of Commission Provide a brief description of the proposed rule change (limit 250 characters). Imited of Comments Imited of Comments First Name Margo Last Name Hassan Imited of Comment Title Counsel Imited of Counsel Imited of Counsel Imited of Counsel E-mail margo hassan@finra.org Imited of Counsel Imited of Counsel Imited of Counsel Signature Imited of Counsel Fax (301) 527-4761 Imited of Counsel Imited of Counsel Imited of Counsel Imited of Counsel Imited of C | Page 1 of | 2 | WASHING | GTON, D.C. 20549 | | | |
| Image: Section of Time Period for Commission Action Date Expires (07-30-2008) Image: Section of Time Period for Commission Action Date Expires (07-30-2008) Image: Section of Time Period for Commission Action Date Expires (07-30-2008) Image: Section of Time Period for Commission Action Date Expires (07-30-2008) Image: Section of Commission Action Date Expires (07-30-2008) Image: Section of Commission Action Date Expires (07-30-2008) Provide a brief description of the proposed rule change (limit 250 characters). Image: Section of Time Period on the proposed rule change (limit 250 characters). Provide the name, telephone number and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the proposed rule change. First Name Margo Last Name Hassan Title Counsel Counsel Image: Counsel (212) 858-4481 Fax (301) 527-4761 Signature Pursuant to the requirements of the Securities Exchange Act of 1934, has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized officer. Date Date By Jean I. Feeney (Name) Vice President and Chief Counsel, FINRA Dispute Resolution Image: Counsel Image: Counsel Image: Counsel Image: Counsel Image: Counsel Image: Counsel Image: Counsel Image: Counsel Image: Couns | | | | | | | |
| Image: Provide a brief commission Action Date Expires Image: Image | Initial | Amendment | | | | Section 19(b)(3)(B) | |
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| SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 | | | | | |
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| For complete Form 19b-4 instructions please refer to the EFFS website. | | | | | |
| Form 19b-4 Information Add Remove View | The self-regulatory organization must provide all required information, presented in a clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal is consistent with the Act and applicable rules and regulations under the Act. | | | | |
| Exhibit 1 - Notice of Proposed Rule Change | The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3) | | | | |
| Exhibit 2 - Notices, Written Comments, Transcripts, Other Communications Add Remove View Exhibit Sent As Paper Document | Copies of notices, written comments, transcripts, other communications. If such documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G. | | | | |
| Exhibit 3 - Form, Report, or Questionnaire Add Remove View Exhibit Sent As Paper Document | Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is referred to by the proposed rule change. | | | | |
| Exhibit 4 - Marked Copies Add Remove View | The full text shall be marked, in any convenient manner, to indicate additions to and deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which it has been working. | | | | |
| Exhibit 5 - Proposed Rule Text Add Remove View | The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part of the proposed rule change. | | | | |
| Partial Amendment Add Remove View | If the self-regulatory organization is amending only part of the text of a lengthy proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions. | | | | |