

OMB APPROVAL

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SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549
Form 19b-4

File No. SR - 2008 - 034

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) ☐Section 19(b)(3)(B) ☐

Rule

☐ 19b-4(f)(1) ☐ 19b-4(f)(4)
☐ 19b-4(f)(2) ☐ 19b-4(f)(5)
☐ 19b-4(f)(3) ☐ 19b-4(f)(6)

Pilot ☐ Extension of Time Period
for Commission Action ☐ Date Expires

Exhibit 2 Sent As Paper Document
☐

Exhibit 3 Sent As Paper Document
☐

Description

Provide a brief description of the proposed rule change (limit 250 characters).

Proposed rule change to amend incorporated NYSE Rules 311, 342, 345, 346, and 416 to delete references to legacy New York Stock Exchange fees that are not charged by FINRA pursuant to those rules

Contact Information

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 Last Name
Title
E-mail
Telephone Fax

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

By
(Name)

(Title)

NOTE: Clicking the button at right will digitally sign and lock
this form. A digital signature is as legally binding as a physical
signature, and once signed, this form cannot be changed.

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

For complete Form 19b-4 instructions please refer to the EDFS website.

Form 19b-4 Information

Add

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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

Add

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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

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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 Sent As Paper Document

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Exhibit 3 - Form, Report, or Questionnaire

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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 Sent As Paper Document

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Exhibit 4 - Marked Copies

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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

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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

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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.

1. Text of Proposed Rule Change

(a) Pursuant to the provisions of Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”),¹ Financial Industry Regulatory Authority, Inc. (“FINRA”) (f/k/a National Association of Securities Dealers, Inc. (“NASD”)) is filing with the Securities and Exchange Commission (“SEC” or “Commission”) a proposed rule change to amend incorporated NYSE Rules 311, 342, 345, 346, and 416 to delete references to legacy New York Stock Exchange (“NYSE”) fees that are not charged by FINRA pursuant to those rules.²

Below is the text of the proposed rule change. Proposed new language is underlined; proposed deletions are in brackets.

* * * * *

Incorporated NYSE Rules

* * * * *

Rule 311. Formation and Approval of Member Organizations

(a) Any person who proposes to form a member organization or who proposes to become an allied member in an organization for which application is made for approval

¹ 15 U.S.C. 78s(b)(1).

² As part of the consolidation of NASD and the NYSE’s member firm regulation operations, FINRA incorporated certain NYSE conduct rules (“Incorporated NYSE Rules”), some of which include provisions related to fees that were imposed by NYSE. See Securities Exchange Act Release No. 56147 (July 26, 2007), 72 FR 42166 (August 1, 2007) (Notice of Filing and Order Granting Accelerated Approval to SR-NASD-2007-054). The Incorporated NYSE Rules apply only to those FINRA members that are also member organizations of NYSE.

as a member organization and any member organization which proposes to admit therein any:

(1) allied member

(2) approved person

shall notify the Exchange in writing before any such formation or admission[, pay any applicable fee] and shall submit such information as may be required by the Rules of the Exchange. No such member organization shall become or remain a member organization unless all persons required to be approved are so approved and execute such agreements with the Exchange as the Rules of the Exchange may prescribe.

(b) through (h) No change.

* * * * *

Rule 342. Offices—Approval, Supervision and Control

(a) through (e) No change.

*** * * Supplementary Material: -----**

.10 No change.

.11 [Annual Fee.—Each office of a member organization (including any foreign branch office), other than the main office of the member organization, shall be subject during its existence to a registration fee as determined by the Exchange for each calendar year or part thereof, unless specifically exempted by the Exchange.]Reserved.

.12 through .30 No change.

* * * * *

Rule 345. Employees—Registration, Approval, Records

(a) through (b) No change.

*** * *Supplementary Material: -----**

.10 through .13 No change.

.14 [Payment of fees.—Members and member organizations shall pay registration, maintenance, filing, and other related fees as prescribed by the Exchange.]Reserved.

.15 through .18 No change.

* * * * *

Rule 346. Limitations—Employment and Association with Members and Member Organizations

(a) through (e) No change.

(f) Except as otherwise permitted by the Exchange, no member, member organization, allied member, approved person, employee or any person directly or indirectly controlling, controlled by or under common control with a member or member organization shall have associated with him or it any person who is known, or in the exercise of reasonable care should be known, to be subject to any “statutory disqualification” defined in Section 3(a)(39) of the Securities Exchange Act of 1934. [Any member organization seeking permission to have such a person continue to be or become associated with it shall pay a fee in an amount to be determined by the Exchange.]

* * * * *

Rule 416. Questionnaires and Reports

(a) No change.

(b) [Unless a specific temporary extension of time has been granted, there shall be imposed upon each member or member organization required to file reports pursuant to this Rule, a fee of \$500 for each day that such report is not filed in the prescribed time. Requests for such extension of time must be submitted to the Exchange at least three business days prior to the due date.]Reserved.

(c) No change.

* * * * *

(b) Not applicable.

(c) Not applicable.

2. Procedures of the Self-Regulatory Organization

At its meetings on December 4, 2007, the Board of Governors of FINRA (formerly NASD) authorized the filing of the rule change with the SEC. No other action by FINRA is necessary for the filing of the proposed rule change.

FINRA proposes that the effective date be retroactive to January 1, 2008, to coincide with the NYSE's elimination of these NYSE fees as of January 1, 2008.

3. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

(a) Purpose

On July 30, 2007, NASD and NYSE consolidated their member firm regulation operations into a combined organization, FINRA. As part of the consolidation, NYSE committed to transfer to FINRA certain regulatory revenues for the remainder of 2007.

NYSE fees subject to the transfer agreement included a gross FOCUS (Financial and Operational Combined Uniform Single Report) fee³ (comparable to NASD's Gross Income Assessment)⁴ and registration fees for branch offices⁵ (comparable to NASD's Branch Office System Processing Fee)⁶ and registered representatives⁷ (comparable to NASD's registration fees for the registration of representatives or principals).⁸

As part of the consolidation, FINRA evaluated whether to consolidate or eliminate any duplicative fees, as well as whether to maintain or increase any non-duplicative fees. As a result of that process, FINRA determined that a number of fees previously charged by NYSE could be eliminated because they are duplicative of other fees. On December 31, 2007, NYSE filed a proposed rule change with the Commission to eliminate certain NYSE registration and regulatory fees effective as of January 1, 2008.⁹ The current proposed rule change deletes references in the Incorporated NYSE

³ See Securities Exchange Act Release No. 56181 (August 1, 2007), 72 FR 44206 (August 7, 2007) (Notice of Filing and Immediate Effectiveness of SR-NYSE-2007-70).

⁴ See Section 1(c) of Schedule A to FINRA's By-Laws ("Schedule A"). The Commission recently approved a new fee structure for the Gross Income Assessment that combines the two legacy fee structures of NASD and NYSE. See Securities Exchange Act Release No. 57474 (March 11, 2008), 73 FR 14517 (March 18, 2008).

⁵ See NYSE Rule 342.11.

⁶ See Section 4(a) of Schedule A.

⁷ See NYSE Rule 345.14.

⁸ See Section 4(b) of Schedule A.

⁹ See Securities Exchange Act Release No. 57093 (January 3, 2008), 73 FR 1654 (January 9, 2008) (Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Eliminate Certain Regulatory Fees) (File No. SR-NYSE-2007-127).

Rules to NYSE fees that were eliminated by NYSE effective as of January 1, 2008, and that are not charged by FINRA pursuant to those rules.

Specifically, the proposed rule change would delete from the Incorporated NYSE Rules references to the following fees:

- The NYSE membership application fee referenced in NYSE Rule 311;¹⁰
- The NYSE Branch Office Fees referenced in NYSE Rule 342.11;¹¹
- The NYSE Registered Persons Fees referenced in NYSE Rule 345.14;¹²
- The Statutory Disqualification Filing Fee and the Statutory Disqualification Review Fee referenced in NYSE Rule 346(f);¹³ and
- The late filing fee referenced in NYSE Rule 416(b).¹⁴

As noted in Item 2 of this filing, FINRA proposes that the effective date be retroactive to January 1, 2008, to coincide with the NYSE's elimination of these fees as of January 1, 2008.

(b) Statutory Basis

FINRA believes that the proposed rule change is consistent with the provisions of

¹⁰ FINRA charges its own application fees pursuant to Sections 4(b) and 4(e) of Schedule A.

¹¹ FINRA charges a similar fee pursuant to Section 4(a) of Schedule A.

¹² FINRA charges a similar fee pursuant to Section 4(b) of Schedule A.

¹³ FINRA charges a similar fee pursuant to Section 12 of Schedule A.

¹⁴ FINRA charges a similar fee pursuant to Section 4(g) of Schedule A.

Section 15A(b)(5) of the Act,¹⁵ which requires, among other things, that FINRA rules provide for the equitable allocation of reasonable dues, fees, and other charges among members and issuers and other persons using any facility or system that FINRA operates or controls. FINRA believes that deleting the references in the Incorporated NYSE Rules to fees that FINRA does not impose pursuant to those rules will reduce confusion and conform the Incorporated NYSE Rules to FINRA's practice.

4. Self-Regulatory Organization's Statement on Burden on Competition

FINRA does not believe that the proposed rule change will result in any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

5. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments were neither solicited nor received.

6. Extension of Time Period for Commission Action

FINRA does not consent at this time to an extension of the time period for Commission action specified in Section 19(b)(2) of the Act.¹⁶

7. Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2)

FINRA requests the Commission to find good cause pursuant to Section 19(b)(2) of the Act¹⁷ for approving the proposed rule change prior to the 30th day after its publication in the Federal Register.

¹⁵ 15 U.S.C. 78o-3(b)(5).

¹⁶ 15 U.S.C. 78s(b)(2).

¹⁷ 15 U.S.C. 78s(b)(2).

FINRA believes that deleting the references in the Incorporated NYSE Rules to fees that FINRA does not impose pursuant to those rules will reduce confusion and conform the Incorporated NYSE Rules to FINRA's existing practice. FINRA requests the Commission to accelerate the effectiveness of the proposed rule change prior to the 30th day after its publication in the Federal Register.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission

Not applicable.

9. Exhibits

Exhibit 1. Completed notice of proposed rule change for publication in the Federal Register.

EXHIBIT 1

SECURITIES AND EXCHANGE COMMISSION

(Release No. 34- ; File No. SR-FINRA-2008-034)

Self-Regulatory Organizations: Financial Industry Regulatory Authority, Inc.; Notice of Filing and Order Granting Accelerated Approval of Proposed Rule Change Relating to Elimination of Fee References in Incorporated NYSE Rules

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)¹ and Rule 19b-4 thereunder,² notice is hereby given that on , Financial Industry Regulatory Authority, Inc. (“FINRA”) (f/k/a National Association of Securities Dealers, Inc. (“NASD”)) filed with the Securities and Exchange Commission (“SEC” or “Commission”) the proposed rule change as described in Items I, II, and III below, which Items have been prepared by FINRA. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons. For the reasons discussed below, the Commission is granting accelerated approval of the proposed rule change.

I. Self-Regulatory Organization’s Statement of the Terms of Substance of the Proposed Rule Change

FINRA is proposing to amend incorporated NYSE Rules 311, 342, 345, 346, and 416 to delete references to legacy New York Stock Exchange (“NYSE”) fees that are not charged by FINRA pursuant to those rules. Below is the text of the proposed rule change. Proposed new language is in italics; proposed deletions are in brackets.

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

* * * * *

Incorporated NYSE Rules

* * * * *

Rule 311. Formation and Approval of Member Organizations

(a) Any person who proposes to form a member organization or who proposes to become an allied member in an organization for which application is made for approval as a member organization and any member organization which proposes to admit therein any:

(1) allied member

(2) approved person

shall notify the Exchange in writing before any such formation or admission[, pay any applicable fee] and shall submit such information as may be required by the Rules of the Exchange. No such member organization shall become or remain a member organization unless all persons required to be approved are so approved and execute such agreements with the Exchange as the Rules of the Exchange may prescribe.

(b) through (h) No change.

* * * * *

Rule 342. Offices—Approval, Supervision and Control

(a) through (e) No change.

*** * * Supplementary Material: -----**

.10 No change.

.11 [Annual Fee.]—Each office of a member organization (including any foreign branch office), other than the main office of the member organization, shall be subject

during its existence to a registration fee as determined by the Exchange for each calendar year or part thereof, unless specifically exempted by the Exchange.]Reserved.

.12 through .30 No change.

* * * * *

Rule 345. Employees—Registration, Approval, Records

(a) through (b) No change.

*** * *Supplementary Material: -----**

.10 through .13 No change.

.14 [Payment of fees.—Members and member organizations shall pay registration, maintenance, filing, and other related fees as prescribed by the Exchange.]Reserved.

.15 through .18 No change.

* * * * *

Rule 346. Limitations—Employment and Association with Members and Member Organizations

(a) through (e) No change.

(f) Except as otherwise permitted by the Exchange, no member, member organization, allied member, approved person, employee or any person directly or indirectly controlling, controlled by or under common control with a member or member organization shall have associated with him or it any person who is known, or in the exercise of reasonable care should be known, to be subject to any “statutory disqualification” defined in Section 3(a)(39) of the Securities Exchange Act of 1934. [Any member organization seeking permission to have such a person continue to be or

become associated with it shall pay a fee in an amount to be determined by the Exchange.]

* * * * *

Rule 416. Questionnaires and Reports

(a) No change.

(b) [Unless a specific temporary extension of time has been granted, there shall be imposed upon each member or member organization required to file reports pursuant to this Rule, a fee of \$500 for each day that such report is not filed in the prescribed time. Requests for such extension of time must be submitted to the Exchange at least three business days prior to the due date.]Reserved.

(c) No change.

* * * * *

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, FINRA included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. FINRA has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

On July 30, 2007, NASD and NYSE consolidated their member firm regulation operations into a combined organization, FINRA. As part of the consolidation, NYSE

committed to transfer to FINRA certain regulatory revenues for the remainder of 2007. NYSE fees subject to the transfer agreement included a gross FOCUS (Financial and Operational Combined Uniform Single Report) fee³ (comparable to NASD's Gross Income Assessment)⁴ and registration fees for branch offices⁵ (comparable to NASD's Branch Office System Processing Fee)⁶ and registered representatives⁷ (comparable to NASD's registration fees for the registration of representatives or principals).⁸

As part of the consolidation, FINRA evaluated whether to consolidate or eliminate any duplicative fees, as well as whether to maintain or increase any non-duplicative fees. As a result of that process, FINRA determined that a number of fees previously charged by NYSE could be eliminated because they are duplicative of other fees. On December 31, 2007, NYSE filed a proposed rule change with the Commission to eliminate certain NYSE registration and regulatory fees effective as of January 1, 2008.⁹ The current proposed rule change deletes references in the Incorporated NYSE

³ See Securities Exchange Act Release No. 56181 (August 1, 2007), 72 FR 44206 (August 7, 2007) (Notice of Filing and Immediate Effectiveness of SR-NYSE-2007-70).

⁴ See Section 1(c) of Schedule A to FINRA's By-Laws ("Schedule A"). The Commission recently approved a new fee structure for the Gross Income Assessment that combines the two legacy fee structures of NASD and NYSE. See Securities Exchange Act Release No. 57474 (March 11, 2008), 73 FR 14517 (March 18, 2008).

⁵ See NYSE Rule 342.11.

⁶ See Section 4(a) of Schedule A.

⁷ See NYSE Rule 345.14.

⁸ See Section 4(b) of Schedule A.

⁹ See Securities Exchange Act Release No. 57093 (January 3, 2008), 73 FR 1654 (January 9, 2008) (Notice of Filing and Immediate Effectiveness of Proposed

Rules to NYSE fees that were eliminated by NYSE effective as of January 1, 2008, and that are not charged by FINRA pursuant to those rules.

Specifically, the proposed rule change would delete from the Incorporated NYSE Rules references to the following fees:

- The NYSE membership application fee referenced in NYSE Rule 311;¹⁰
- The NYSE Branch Office Fees referenced in NYSE Rule 342.11;¹¹
- The NYSE Registered Persons Fees referenced in NYSE Rule 345.14;¹²
- The Statutory Disqualification Filing Fee and the Statutory Disqualification Review Fee referenced in NYSE Rule 346(f);¹³ and
- The late filing fee referenced in NYSE Rule 416(b).¹⁴

FINRA proposes that the effective date be retroactive to January 1, 2008, to coincide with the NYSE's elimination of these fees as of January 1, 2008.

2. Statutory Basis

FINRA believes that the proposed rule change is consistent with the provisions of Section 15A(b)(5) of the Act,¹⁵ which requires, among other things, that FINRA rules

Rule Change to Eliminate Certain Regulatory Fees) (File No. SR-NYSE-2007-127).

¹⁰ FINRA charges its own application fees pursuant to Sections 4(b) and 4(e) of Schedule A.

¹¹ FINRA charges a similar fee pursuant to Section 4(a) of Schedule A.

¹² FINRA charges a similar fee pursuant to Section 4(b) of Schedule A.

¹³ FINRA charges a similar fee pursuant to Section 12 of Schedule A.

¹⁴ FINRA charges a similar fee pursuant to Section 4(g) of Schedule A.

¹⁵ 15 U.S.C. 78o-3(b)(5).

provide for the equitable allocation of reasonable dues, fees, and other charges among members and issuers and other persons using any facility or system that FINRA operates or controls. FINRA believes that deleting the references in the Incorporated NYSE Rules to fees that FINRA does not impose pursuant to those rules will reduce confusion and conform the Incorporated NYSE Rules to FINRA's practice.

B. Self-Regulatory Organization's Statement on Burden on Competition

FINRA does not believe that the proposed rule change will result in any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments were neither solicited nor received.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

FINRA has requested that the Commission find good cause pursuant to Section 19(b)(2) of the Act¹⁶ for approving the proposed rule change prior to the 30th day after publication in the Federal Register. The Commission finds that the proposed rule change is consistent with the requirements of the Act and the rules and regulations thereunder applicable to FINRA and, in particular, the requirements of Section 15A of the Act and the rules and regulations thereunder. The Commission finds good cause for approving the proposed rule change prior to the 30th day after the date of publication of notice of filing thereof in that accelerated approval will benefit FINRA's members because deleting the references in the Incorporated NYSE Rules to fees that FINRA does not

¹⁶ 15 U.S.C. 78s(b)(2).

impose pursuant to those rules will reduce confusion and conform the Incorporated NYSE Rules to FINRA's practice.

Within 35 days of the date of publication of this notice in the Federal Register or within such longer period (i) as the Commission may designate up to 90 days of such date if it finds such longer period to be appropriate and publishes its reasons for so finding or (ii) as to which the self-regulatory organization consents, the Commission will:

(A) by order approve such proposed rule change, or

(B) institute proceedings to determine whether the proposed rule change should be disapproved.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic Comments:

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an e-mail to rule-comments@sec.gov. Please include File Number SR-FINRA-2008-034 on the subject line.

Paper Comments:

- Send paper comments in triplicate to Nancy M. Morris, Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-1090.

All submissions should refer to File Number SR-FINRA-2008-034. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet Web site (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for inspection and copying in the Commission's Public Reference Room. Copies of such filing also will be available for inspection and copying at the principal office of FINRA.

All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number SR-FINRA-2008-034 and should be submitted on or before [insert date 21 days from publication in the Federal Register].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁷

Florence Harmon

Deputy Secretary

¹⁷ 17 CFR 200.30-3(a)(12).