

FINRA July Rulemaking Meeting

On July 10, 2013, FINRA Board of Governors will meet to consider the following items:

- ATS Reporting and Transparency—a proposal to require alternative trading systems to report aggregate transaction volume to FINRA and to use unique market participant identifiers;
- Broker-Check— a proposal to have non-FINRA member firms and their registered persons report information on Broker-Check;
- Debt Research— a proposal to address debt research conflict of interests. The proposal applies the significant protections given to equity research but also proposes an exemption for sophisticated institutional investors;
- Disclosures Related to Recruitment Practice and Account Transfers—a proposal to require disclosure of compensation by a registered representative in connection with changing firms;
- Dissemination of Additional Asset-Backed Securities Transactions—a proposal to disseminate transaction information in additional types of asset-backed securities, including Rule 144A transactions;
- Funding Portal Rules— a proposal to solicit comment on proposed rules and related forms governing funding portals;
- Uniform Branch Office Registration Form— a proposed amendment to Form BR to eliminate duplicate sections, apply some information items to all filers and clarify existing questions;

