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SEC Investor Advocate Recommends Approval of FINRA and MSRB Proposals on Mark-up Disclosure.

Earlier this week, the Investor Advocate of the U.S. Securities and Exchange Commission recommended to the SEC that they approve the proposals from the Financial Industry Regulatory Authority (FINRA) and the Municipal Securities Rulemaking Board (MSRB) to require disclosure of mark-ups and mark-downs from prevailing market price on retail customer confirmations, relating to certain transactions in fixed income securities and municipal securities.

[Comment Letter from the Investor Advocate](#)

[SEC Filing Published in Federal Register](#)

[SIFMA's Recent Comments to SEC on Proposed Rule Changes](#)

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