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## Commission Adopts Amendments to Financial Responsibility Rules for Broker-Dealers.

The Securities and Exchange Commission (Commission) today announced the adoption of amendments to the net capital, customer protection, books and records, and notification rules for broker-dealers. The amendments to the broker-dealer financial responsibility rules are designed to better protect a broker-dealer's customers and enhance the SEC's ability to monitor and prevent unsound business practices. The rule amendments were approved by a unanimous Commission vote. "Investors need to feel confident that their money is safe when it's being held by their broker-dealers," said Mary Jo White, Chair of the SEC. "These measures will significantly bolster the protections that our rules already offer." The rule amendments will become effective 60 days after their publication in the Federal Register. (Press Rel. 2013-140; 34-70072)

http://www.sec.gov/News/PressRelease/Detail/PressRelease/1370539739257#.UgQaEuDxYeF

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