

# **Bond Case Briefs**

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## **SEC Approves Two Rule Changes Related to FINRA Rule 8312 (FINRA BrokerCheck Disclosure).**

The SEC approved two rule changes related to FINRA Rule 8312 (FINRA BrokerCheck Disclosure). First, the SEC approved amendments to permanently make publicly available in BrokerCheck information about former associated persons of a FINRA member firm who were registered on or after August 16, 1999, and who have been the subject of an investment-related civil action brought by a state or foreign financial regulatory authority that was dismissed pursuant to a settlement agreement. Second, the SEC approved amendments to include in BrokerCheck information about member firms and their associated persons of any registered national securities exchange that uses the Central Registration Depository (CRD) for registration purposes. Both rule changes will become effective on June 23, 2014.

The text of the rule amendments is set forth in Attachment A.

Questions concerning this Notice should be directed to FINRA's Gateway Call Center at (301) 590-6500.

View the full Notice:

<http://www.finra.org/web/groups/industry/@ip/@reg/@notice/documents/notices/p447595.pdf>