

2013 Filings with the SEC

SR-MSRB-2013-09 (December 24, 2013)

Proposed Rule Change Consisting of Amendments to MSRB Rules A-12, on Initial Fee, G-14, on Reports of Sales or Purchases, and the Facility for Real-Time Transaction Reporting and Price Dissemination (RTRS Facility); Deletion of Rules A-14, on Annual Fee, A-15, on Notification to the Board of Change in Status or Change of Name or Address, and G-40, on Electronic Mail Contacts; Deletion of References to RTRS Testing Requirements under G-14(b)(v), G-14(c), on RTRS Procedures, and in the RTRS Facility; Elimination of MSRB Forms RTRS and G-40, and Adoption of a Single, Consolidated Electronic Registration Form, New Form A-12

[Amendment No. 1 \(January 7, 2014\)](#)

[Federal Register Notice of Filing \(January 14, 2014\)](#)

[SEC Approval Order \(February 26, 2014\)](#)

[Federal Register Notice of Approval \(March 4, 2014\)](#)

SR-MSRB-2013-08 (September 19, 2013)

Proposed Rule Change Consisting of Amendments to Rule G-11, on Primary Offering Practices, Relating to Changes in a Bond Authorizing Document

[Federal Register Notice of Filing \(October 22, 2013\)](#)

[SEC Approval Order \(December 5, 2013\)](#)

[Federal Register Notice of Approval \(December 11, 2013\)](#)

SR-MSRB-2013-07 (September 17, 2013)

Proposed Rule Change Consisting of Proposed MSRB Rule G-47, on Time of Trade Disclosure Obligations, Proposed Revisions to MSRB Rule G-19, on Suitability of Recommendations and Transactions, Proposed MSRB Rules D-15 and G-48, on Sophisticated Municipal Market Professionals, and the Proposed Deletion of Interpretive Guidance

[Federal Register Notice of Filing \(October 22, 2013\)](#)

[SEC Request for Extension of Time \(December 3, 2013\)](#)

[MSRB Comment Letter to SEC \(January 14, 2014\)](#)

[SEC Order Instituting Proceedings to Determine Whether to Approve or Disapprove Proposed Rule Change \(January 16, 2014\)](#)

[SEC Approval Order \(March 7, 2014\)](#)

[Federal Register Notice of Approval \(March 13, 2014\)](#)

SR-MSRB-2013-06 (July 3, 2013) (WITHDRAWN)

Proposed Rule Change Consisting of Amendments to MSRB Rule A-3, on Membership on the Board, to Modify the Standard of Independence for Public Board Members

[Federal Register Notice of Filing \(July 24, 2013\)](#)

[MSRB Comment Letter to SEC \(September 6, 2013\)](#)

[SEC Request for Extension of Time \(September 6, 2013\)](#)

[MSRB Withdrawal of Filing \(October 4, 2013\)](#)

[Federal Register Notice of Withdrawal \(October 22, 2013\)](#)

SR-MSRB-2013-05 (June 17, 2013)

Proposed Rule Change Consisting of Amendments to MSRB Rules G-8, on Books and Records, G-11, on Primary Offering Practices, and G-32, on Disclosures in Connection with Primary Offerings, and Conforming Changes to Form G-32, Regarding Retail Order Period Requirements

[Federal Register Notice of Filing \(June 28, 2013\)](#)
[SEC Request for Extension of Time No. 1 \(August 9, 2013\)](#)
[SEC Request for Extension of Time No. 2 \(August 28, 2013\)](#)
[Amendment No. 1 \(September 6, 2013\)](#)
[SEC Request for Extension of Time No. 3 \(September 6, 2013\)](#)
[MSRB Comment Letter to SEC \(September 6, 2013\)](#)
[SEC Approval Order \(September 26, 2013\)](#)
[Federal Register Notice of Approval \(October 2, 2013\)](#)

SR-MSRB-2013-04 (June 10, 2013)

Proposed Rule Change Consisting of New MSRB Rule G-45, on Reporting of Information on Municipal Fund Securities, and Form G-45, and Amendments to Rules G-8, on Books and Records, and G-9, on Preservation of Records

[Federal Register Notice of Filing \(June 28, 2013\)](#)
[SEC Request for Extension of Time \(August 9, 2013\)](#)
[SEC Order Instituting Proceedings to Determine Whether to Disapprove Proposed Rule Change \(September 26, 2013\)](#)
[SEC Notice of Designation of Longer Period for Commission Action on Proceedings to Determine Whether to Disapprove Proposed Rule Change \(December 19, 2013\)](#)
[Amendment No. 1 \(January 14, 2014\)](#)
[MSRB Comment Letter to SEC \(January 14, 2014\)](#)
[SEC Approval Order \(February 21, 2014\)](#)
[Federal Register Notice of Approval \(February 27, 2014\)](#)

SR-MSRB-2013-03 (March 1, 2013)

Proposed Rule Change to Simplify or Eliminate Certain Data Elements Required to Complete MSRB Form RTRS

[SEC Approval Order \(March 8, 2013\)](#)
[Federal Register Notice of Filing and Immediate Effectiveness \(March 14, 2013\)](#)

SR-MSRB-2013-02 (February 11, 2013)

Proposed Amendments to Rule G-39, on Telemarketing

[Federal Register Notice of Filing \(March 4, 2013\)](#)
[SEC Request for Extension of Time \(April 1, 2013\)](#)
[SEC Approval Order \(May 24, 2013\)](#)
[Federal Register Notice of Approval \(May 30, 2013\)](#)

SR-MSRB-2013-01 (February 4, 2013)

Proposed Amendments to Rule G-37, on Political Contributions and Prohibitions on Municipal Securities Business, Rule G-8, on Books and Records, and Form G-37 Relating to Contributions to Bond Ballot Campaigns

[Federal Register Notice of Filing \(February 14, 2013\)](#)
[SEC Approval Order \(March 28, 2013\)](#)
[Federal Register Notice of Approval \(April 3, 2013\)](#)