

2011 Filings with the SEC

SR-MSRB-2011-19 (October 13, 2011)

Proposed Rule Change Consisting of Amendments to Rule G-16, on Periodic Compliance Examination, and Rule G-9, on Preservation of Records

[Amendment No. 1 \(December 12, 2011\)](#)

[MSRB Response to Comments \(December 12, 2011\)](#)

SR-MSRB-2011-18 (September 30, 2011)

Proposed Rule Change Consisting of Amended and Restated Articles of Incorporation

SR-MSRB-2011-17 (September 13, 2011)

Proposed Rule Change Consisting of Amendments Regarding Professional Qualifications and Information Concerning Associated Persons

SR-MSRB-2011-16 (September 12, 2011)

Proposed Rule Change to Extend the Effective Date of the Amendment to the Continuing Disclosure Service of EMMA to Provide for the Posting of Credit Rating and Related Information on the EMMA Public Website

SR-MSRB-2011-15 (August 24, 2011) [\(WITHDRAWN\)](#)

Proposed Interpretive Notice Concerning the Application of Rule G-17, on Conduct of Municipal Securities and Municipal Advisory Activities, to Municipal Advisors

SR-MSRB-2011-14 (August 23, 2011) [\(WITHDRAWN\)](#)

Proposed Rule Change Consisting of Proposed Rule G-36, on Fiduciary Duty of Municipal Advisors, and a Proposed Interpretive Notice Concerning the Application of Proposed Rule G-36 to Municipal Advisors

SR-MSRB-2011-13 (August 22, 2011) [\(WITHDRAWN\)](#)

Proposed Rule Change Consisting of Proposed New Rule G-44, on Supervision of Municipal Advisory Activities, Along with Related Proposed Amendments to Rule G-8, on Books and Records, and Rule G-9, on Preservation of Records

SR-MSRB-2011-12 (August 19, 2011) [\(WITHDRAWN\)](#)

Proposed Rule Change Consisting of Proposed New Rule G-42, on Political Contributions and Prohibitions on Municipal Advisory Activities; Proposed Amendments to Rules G-8, on Books and Records, G-9, on Preservation of Records, and G-37, on Political Contributions and Prohibitions on Municipal Securities Business; Proposed Form G-37/G-42 and Form G-37x/G-42x; and a Proposed Restatement of a Rule G-37 Interpretive Notice

SR-MSRB-2011-11 (August 11, 2011)

Proposed Rule Change Consisting of Amendments to Rule A-3, on Membership on the Board, in Order to Establish a Permanent Board Structure of 21 Board Members

SR-MSRB-2011-10 (August 16, 2011) [\(WITHDRAWN\)](#)

Proposed Rule Change Consisting of Amendments to Rule G-20, on Gifts and Gratuities, Rule G-8, on Books and Records, and Rule G-9, on Preservation of Records, and to Clarify that Certain Interpretations by FINRA and

NASD Would Be Applicable to Municipal Advisors
(Refiled to make technical changes; original filed on August 4, 2011)

[SR-MSRB-2011-09 \(August 22, 2011\)](#)

Proposed Interpretive Notice Concerning the Application of Rule G-17, on Conduct of Municipal Securities and Municipal Advisory Activities, to Underwriters of Municipal Securities
(Refiled to make non-substantive changes; original filed on August 2, 2011; second filing made on August 12, 2011)

[Amendment No. 1 \(November 3, 2011\) \(WITHDRAWN\)](#)

[Amendment No. 2 \(November 10, 2011\)](#)

[MSRB Comment Letter to SEC \(November 10, 2011\)](#)

[MSRB Comment Letter to SEC \(December 7, 2011\)](#)

[MSRB Comment Letter to SEC \(January 30, 2012\)](#)

[MSRB Comment Letter to SEC \(February 13, 2012\)](#)

[SR-MSRB-2011-08 \(July 26, 2011\) \(WITHDRAWN\)](#)

Proposed New Rule A-11, on Municipal Advisor Assessments, and New Form A-11-Interim

[SR-MSRB-2011-07 \(June 21, 2011\)](#)

Revisions to the Study Outline for the Municipal Fund Securities Limited Principal Qualification Examination (Series 51)

[SR-MSRB-2011-06 \(April 27, 2011\)](#)

Proposed Rule Change Consisting of Modifications to the Charges for MSRB Historical Transaction Reporting Data Reports and the Establishment of a One-Time Set-Up Fee

[SR-MSRB-2011-05 \(February 14, 2011\)](#)

Proposed Rule Change to Rule A-15, on Notice of Termination of Municipal Securities Activities, to Extend the Coverage of the Rule to Municipal Advisors and to Expand the Circumstances under which Notification Must be Provided to the MSRB

[SR-MSRB-2011-04 \(February 10, 2011\)](#)

Proposed Rule Change to Amend the MSRB's Short-term Obligation Rate Transparency (SHORT) Subscription Service

[SR-MSRB-2011-03 \(February 9, 2011\)](#)

Proposed Rule Change to Amend Rule G-23, on Activities of Financial Advisors, and an Interpretive Notice to Rule G-23

[SR-MSRB-2011-03, Amendment No. 1 \(May 26, 2011\)](#)

[SR-MSRB-2011-02 \(February 18, 2011\)](#)

Proposed Rule Change Consisting of Amendments to Rule A-3, on Membership on the Board
(Refiled to make non-substantive changes; original filed on January 25, 2011)

[SR-MSRB-2011-01 \(February 18, 2011\)](#)

Proposed Rule Change Consisting of Amended and Restated Articles of Incorporation
(Refiled to make non-substantive changes; original filed on January 25, 2011)