

## 2014 Filings with the SEC

### SR-MSRB-2014-09 (November 25, 2014)

Proposed Rule Change Consisting of Amendments to MSRB's Electronic Municipal Market Access (EMMA) System to Add Disclosures Related to Municipal Asset-Backed Securities

[Read the rule text](#)

[SEC Approval Order \(December 1, 2014\)](#)

[Federal Register Notice of Immediately Effective Rule Change \(December 5, 2014\)](#)

### SR-MSRB-2014-08 (November 18, 2014)

Proposed Rule Change Consisting of Amendments to Rule G-1, on Separately Identifiable Department or Division of a Bank; Rule G-2, on Standards of Professional Qualification; Rule G-3, on Professional Qualification Requirements; and Rule D-13, on Municipal Advisory Activities

[Read the rule text](#)

[Federal Register Notice of Filing \(December 5, 2014\)](#)

[SEC Request for Extension of Time \(January 7, 2015\)](#)

[SEC Request for Extension of Time \(January 30, 2015\)](#)

[Amendment No. 1 \(February 5, 2015\)](#)

[MSRB Comment Letter to SEC \(February 5, 2015\)](#)

[MSRB Letter to SEC about Amendment No. 1 \(February 5, 2015\)](#)

[SEC Request for Extension of Time \(February 12, 2015\)](#)

[MSRB Comment Letter to SEC \(February 20, 2015\)](#)

[Amendment No. 2 \(February 25, 2015\)](#)

[MSRB Letter to SEC about Amendment No. 2 \(February 25, 2015\)](#)

[SEC Approval Order \(February 26, 2015\)](#)

[Federal Register Notice of Approval \(March 4, 2015\)](#)

### SR-MSRB-2014-07 (August 20, 2014)

Proposed Rule Change Consisting of Rule G-18, on Best Execution of Transactions in Municipal Securities, and Amendments to Rule G-48, on Transactions with Sophisticated Municipal Market Professionals ("SMMP"), and Rule D-15, on the Definition of SMMP

[Federal Register Notice of Filing \(September 8, 2014\)](#)

[SEC Request for Extension of Time \(October 23, 2014\)](#)

[MSRB Comment Letter to SEC \(November 21, 2014\)](#)

[SEC Approval Order \(December 5, 2014\)](#)

[Federal Register Notice of Approval \(December 11, 2014\)](#)

### SR-MSRB-2014-06 (July 24, 2014)

Proposed Rule Change Consisting of Proposed New Rule G-44, on Supervisory and Compliance Obligations of Municipal Advisors; Proposed Amendments to Rule G-8, on Books and Records to be Made by Brokers, Dealers and Municipal Securities Dealers; and Proposed Amendments to Rule G-9, on Preservation of Records

[Federal Register Notice of Filing \(August 5, 2014\)](#)

[SEC Request for Extension of Time \(September 10, 2014\)](#)

[SEC Request for Extension of Time \(October 9, 2014\)](#)  
[Amendment No. 1 \(October 17, 2014\)](#)  
[MSRB Comment Letter to SEC \(October 17, 2014\)](#)  
[MSRB Letter to SEC about Amendment No. 1 \(October 17, 2014\)](#)  
[SEC Approval Order \(October 23, 2014\)](#)  
[Federal Register Notice of Approval \(October 29, 2014\)](#)

### **SR-MSRB-2014-05 (July 22, 2014)**

Proposed Rule Change Consisting of Amendments to Rule G-3, on Professional Qualification Requirements, Regarding Continuing Education Requirements

[Federal Register Notice of Filing \(August 5, 2014\)](#)  
[SEC Request for Extension of Time \(September 3, 2014\)](#)  
[SEC Request for Extension of Time \(September 29, 2014\)](#)  
[MSRB Comment Letter to SEC \(October 3, 2014\)](#)  
[SEC Approval Order \(October 15, 2014\)](#)  
[Federal Register Notice of Approval \(October 21, 2014\)](#)

### **SR-MSRB-2014-04 (June 6, 2014)**

Proposed Rule Change Consisting of Amendments to Rule G-3, on Classification of Principals and Representatives, Numerical Requirements, Testing, Continuing Education Requirements; Rule G-7, on Information Concerning Associated Persons; and Rule G-27, on Supervision

[Federal Register Notice of Filing \(June 24, 2014\)](#)  
[SEC Approval Order \(August 1, 2014\)](#)  
[Federal Register Notice of Approval \(August 7, 2014\)](#)

### **SR-MSRB-2014-03 (April 17, 2014)**

New Rule A-11, on Assessments for Municipal Advisor Professionals

[SEC Approval Order \(April 25, 2014\)](#)  
[Federal Register Notice of Immediately Effective Rule Change \(May 1, 2014\)](#)

### **SR-MSRB-2014-02 (February 28, 2014)**

Proposed Rule Change Consisting of Changes to the MSRB's Electronic Municipal Market Access System, Real-time Transaction Reporting System, and Short-Term Obligation Rate Transparency System

[SEC Approval Order \(March 11, 2014\)](#)  
[Federal Register Notice of Immediately Effective Rule Change \(March 17, 2014\)](#)

### **SR-MSRB-2014-01 (January 29, 2014)**

Proposed Rule Change Consisting of Proposed Revisions to MSRB Rule G-30, on Prices and Commissions and the Deletion of Rule G-18, on Execution of Transactions

[Federal Register Notice of Filing \(February 19, 2014\)](#)  
[SEC Request for Extension of Time \(April 4, 2014\)](#)  
[SEC Request for Extension of Time \(April 22, 2014\)](#)  
[Amendment No. 1 \(April 29, 2014\)](#)  
[MSRB Comment Letter to SEC \(April 29, 2014\)](#)  
[MSRB Letter to SEC about Amendment No. 1 \(April 29, 2014\)](#)  
[SEC Approval Order \(May 8, 2014\)](#)  
[Federal Register Notice of Approval \(May 14, 2014\)](#)