



RULE-MAKING ORDER

CR-103P (May 2009)
(Implements RCW 34.05.360)

Agency: Department of Financial Institutions – Securities Division

Permanent Rule Only

Effective date of rule:

Permanent Rules

- 31 days after filing.
- Other (specify) _____ (If less than 31 days after filing, a specific finding under RCW 34.05.380(3) is required and should be stated below)

Any other findings required by other provisions of law as precondition to adoption or effectiveness of rule?

- Yes
 - No
- If Yes, explain:

Purpose: In 2007 the National Association of Securities Dealers (NASD) consolidated with the member regulation operations of the New York Stock Exchange to form the Financial Industry Regulatory Authority (FINRA). The rules adopted by the Securities Division in Title 460 WAC have not yet been updated to reflect this name change but we are now proposing to do so. As the substantive matters covered by these rules will be unchanged by these updates, these changes will have no substantive effect on existing rules or how they are administered. Further, the amendments will prevent confusion by eliminating any references to an organization that no longer exists under its prior name.

Citation of existing rules affected by this order:

Repealed: N/A
 Amended: WAC 460-20B-020; WAC 460-20B-030; WAC 460-20B-060; WAC 460-21B-060; WAC 460-21C-010; WAC 460-22B-040; WAC 460-22B-090; WAC 460-23B-030; WAC 460-24A-047; WAC 460-28A-025
 Suspended: N/A

Statutory authority for adoption: RCW 21.20.450

Other authority :

PERMANENT RULE (Including Expedited Rule Making)

Adopted under notice filed as WSR 14-05-077 on February 18, 2014.
 Describe any changes other than editing from proposed to adopted version: N/A

If a preliminary cost-benefit analysis was prepared under RCW 34.05.328, a final cost-benefit analysis is available by contacting:

Name: N/A phone () _____
 Address: fax () _____
 e-mail _____

Date adopted: April 29, 2014

NAME (TYPE OR PRINT)
 Scott Jarvis

SIGNATURE
TITLE
 Director

CODE REVISER USE ONLY

OFFICE OF THE CODE REVISER
 STATE OF WASHINGTON
 FILED

DATE: April 29, 2014
TIME: 4:00 PM

WSR 14-10-040

**Note: If any category is left blank, it will be calculated as zero.
No descriptive text.**

**Count by whole WAC sections only, from the WAC number through the history note.
A section may be counted in more than one category.**

The number of sections adopted in order to comply with:

Federal statute:	New	_____	Amended	_____	Repealed	_____
Federal rules or standards:	New	_____	Amended	_____	Repealed	_____
Recently enacted state statutes:	New	_____	Amended	_____	Repealed	_____

The number of sections adopted at the request of a nongovernmental entity:

New	_____	Amended	_____	Repealed	_____
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The number of sections adopted in the agency's own initiative:

New	_____	Amended	<u>10</u>	Repealed	_____
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The number of sections adopted in order to clarify, streamline, or reform agency procedures:

New	_____	Amended	_____	Repealed	_____
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The number of sections adopted using:

Negotiated rule making:	New	_____	Amended	_____	Repealed	_____
Pilot rule making:	New	_____	Amended	_____	Repealed	_____
Other alternative rule making:	New	_____	Amended	_____	Repealed	_____