



STATE OF WASHINGTON  
**DEPARTMENT OF FINANCIAL INSTITUTIONS**  
SECURITIES DIVISION

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**Washington proposing to amend Title 460 WAC to reflect change of name from “National Association of Securities Dealers” and “NASD” to “Financial Industry Regulatory Authority” and “FINRA”**

February 19, 2014

As you are on our interested persons list, we are writing to inform you that the Securities Division is proposing to amend Title 460 WAC to reflect the change of name from “National Association of Securities Dealers” and “NASD” to “Financial Industry Regulatory Authority” and “FINRA,” respectively.

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 Division is engaging in this rule making to update Title 460 WAC to reflect this name change, which will prevent confusion by eliminating outdated references to NASD and National Association of Securities Dealers. This rulemaking will only update the above changes of name, and will have no substantive effect on the administration of the rules. A copy of the Expedited Rule Making (Form CR-105) and proposed rule text accompany this message.

Questions concerning this rule-making notice may be directed to Jordan Rood at [Jordan.Rood@dfi.wa.gov](mailto:Jordan.Rood@dfi.wa.gov) or (360) 902-8797.

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