

June 18, 2012

FINRA Announces Implementation Date for New Rules Governing Communications with the Public

The U.S. Financial Industry Regulatory Authority, Inc. (FINRA) on June 14, 2012 announced the implementation date for its new rules governing communications with the public. The new rules become effective on February 4, 2013.

The new FINRA rules will replace current NASD Rules 2210 and 2211 and the Interpretive Materials that follow NASD Rule 2210, as well as delete portions of Incorporated New York Stock Exchange Rule 472. While the new rules are based upon the current provisions of these rules, there are some notable changes. It is important that firms are aware of the new rules and that they educate their compliance and marketing professionals regarding the changes to ensure compliant sales communications.

For more information on the new rules, please see our May 3 update "[SEC Approves New FINRA Rules Governing Communications With the Public.](#)"

For More Information

If you have questions regarding the information in this update, please contact one of the lawyers listed or any Dechert lawyer with whom you regularly work. Visit us at www.dechert.com/financial_services.

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