

2014-2015 REGULATORY AGENDA

August 11, 2014

AGENCY UMBRELLA UNIT NUMBER: 02-032

AGENCY NAME: Department of Professional and Financial Regulation, Office of Securities

CONTACT PERSON:

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EMERGENCY RULES ADOPTED SINCE THE LAST REGULATORY AGENDA: None

EXPECTED 2014-2015 RULE-MAKING ACTIVITY:

CHAPTER 504: Broker Dealer and Agent Licensing

STATUTORY BASIS: 32 M.R.S.A. §§ 16401, 16402, 16405, 16406, 16408, 16411, 16412, and 16605

PURPOSE: Revise and update this rule to address policy, law, industry, or other changes.

ANTICIPATED SCHEDULE: Prior to 7/2015

AFFECTED PARTIES: Broker Dealers and Agents.

CONSENSUS-BASED RULE DEVELOPMENT: Not expected

CHAPTER 515: Investment Adviser Licensing

STATUTORY BASIS: 32 M.R.S.A. §§ 16403, 16404, 16405, 16406, 16408, 16411, 16412, and 16605

PURPOSE: Revise and update this rule to address policy, law, industry, or other changes.

ANTICIPATED SCHEDULE: Prior to 7/2015

AFFECTED PARTIES: Investment advisers and persons representing investment advisers.

CONSENSUS-BASED RULE DEVELOPMENT: Not expected