**02-032**

**OFFICE OF SECURITIES**

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