

The chart below compares the existing NASD rule numbers against the proposed FINRA rule numbering convention for the MAP rules.

Current NASD Rules	Proposed FINRA Rules
1000. MEMBERSHIP AND REGISTRATION RULES	1000. MEMBER APPLICATION AND ASSOCIATED PERSON REGISTRATION
	1100. NEW AND CONTINUING MEMBERSHIP
1010. MEMBERSHIP PROCEEDINGS	1110. GENERAL PROVISIONS
1011. Definitions	1111. Definitions
1011(a) "Applicant"	1111(a) "Applicant"
1011(b) "Associated Person"	1111(b) "Application"
1011(c) "Department"	1111(c) "Associated Person"
1011(d) "Director"	1111(d) "Associated Person Involved in Sales"
1011(e) "district"	1111(e) "Control"
1011(f) "district office"	1111(f) "Day"
1011(g) "FINRA Board"	1111(g) "Department"
1011(h) "FINRA Regulation Board"	1111(h) "Director"
1011(i) "Governor"	1111(i) "Disciplinary History"
1011(j) "Interested FINRA Staff"	1111(j) "District"
1011(k) "material change in business operations"	1111(k) "District Office"
1011(l) "principal place of business"	1111(l) "FINRA Board"
1011(m) "sales practice event"	1111(m) "FINRA Regulation Board"
1011(n) "Subcommittee"	1111(n) "Governor"
	1111(o) "Interested FINRA Staff"
	1111(p) "Principal Place of Business"
	1111(q) "Sales Practice Event"
	1111(r) "Subcommittee"
IM-1011-1. Safe Harbor for Business Expansions	
1012. General Provisions	1112. General Procedures
1012(a) Filing by Applicant or Service by FINRA	1112(a) Filing and Service; Timing
1012(b) Lapse of Application	1112(b) Rejection of Application Following Department's Initial Assessment
1012(c) Ex Parte Communications	1112(c) Request for Additional Documents or Information
1012(d) Recusal or Disqualification	1112(d) Lapse of Application
1012(e) Computation of Time	1112(e) Withdrawal of Application
1012(e)(1) Calendar Day	1112(f) Membership Interview
1012(e)(2) Formula	1112(f)(1) New Membership Interview Mandatory
	1112(f)(2) Continuing Membership Interview Discretionary
	1112(f)(3) Service of Notice of Membership Interview; Where Held
	1112(f)(3)(A) Service of Notice of Membership Interview
	1112(f)(3)(B) Where Held
	••• Supplementary Material: ----- <ul style="list-style-type: none"> • 1112.01. Initial Assessment by Department • 1112.02. Department Decision to Expedite Review • 1112.03. Membership Interview

Current NASD Rules	Proposed FINRA Rules
	<ul style="list-style-type: none"> • 1112.04. Waiver of Two-Principal Requirement <ul style="list-style-type: none"> (a) Department Review (b) Department Decision
	1113. Restrictions Pertaining to New Member Applications¹
	1114. Filing of Misleading Information as to Membership or Registration²
	1120. NEW MEMBERSHIP³
IM-1013-1. Membership Waive-In Process for Certain New York Stock Exchange Member Organizations	1121. Membership Waive-In
IM-1013-2. Membership Waive-In Process for Certain NYSE Alternext US LLC Member Organizations	
1090. Foreign Members	1122. Foreign Members
1013. New Member Application and Interview	1123. New Membership Application Process
1013(a) Filing of Application	1123(a) General
1013(a)(1) How to File	1123(b) New Membership Application (Form NMA)
1013(a)(2) Uniform Registration Forms	
1013(a)(3) Rejection of Application That Is Not Substantially Complete	
1013(a)(4) Request For Additional Documents or Information	
1013(a)(5) Withdrawal of Application	
1013(b) Membership Interview	
1013(b)(1) Requirement for Interview	
1013(b)(2) Service of Notice	
1013(b)(3) Time	
1013(b)(4) Place	
1013(b)(5) Updated Financial Documents	
1013(b)(6) Review Standards for Admission	
1013(b)(7) Information from Other Sources	
	1130. CONTINUING MEMBERSHIP
1017. Application for Approval of Change in Ownership, Control, or Business Operations	1131. Continuing Membership Application Process
1017(a) Events Requiring Application	1131(a) Continuing Membership Application (Form CMA)
1017(a)(1) – merger	1131(b) Events Requiring Form CMA and Department Approval
1017(a)(2) – acquisition	1131(b)(1) Merger
1017(a)(3) – acquisition or transfer of 25% or more	1131(b)(2) Acquisition
1017(a)(4) – change in equity ownership or partnership capital	1131(b)(3) Divestiture or Transfer
1017(a)(5) – material change in business operations	1131(b)(4) Change in Capital Structure
1017(b) Filing and Content of Application	1131(b)(5) Change in Control Person

Current NASD Rules	Proposed FINRA Rules
1017(c) Effecting Change and Imposition of Interim Restrictions	1131(b)(6) Business Expansion
1017(d) Rejection of Application That Is Not Substantially Complete	1131(b)(7) Material Change in Business Operations
1017(e) Request for Additional Documents and Information	1131(b)(8) Removal or Modification of Restriction in Membership Agreement
1017(f) Withdrawal of Application	1131(b)(8)(A) Applicant's Initiative
1017(g) Membership Interview	1131(b)(8)(B) Department's Initiative
1017(h) Department Decision	
1017(i) Service and Effectiveness of Decision	
1017(j) Request for Review; Final Action	
1017(k) Removal or Modification of Restriction on Department's Initiative	
1017(l) Lapse or Denial of Application for Approval of Change in Ownership	
	••• Supplementary Material: ----- • 1131.01. Permissible Events for Form CMA Waiver
	1132. Materiality Consultation
	1132(a) When Required
	1132(b) Content of Request for Materiality Consultation
	1132(c) Department Review
	1133. Safe Harbor from the CMA Process
	1133(a) General
	1133(b) Permissible Events for Safe Harbor
	1133(b)(1) Number of Associated Persons Involved in Sales
	1133(b)(2) Number of Offices or Locations (Registered or Unregistered)
	1133(b)(3) Number of Markets Made
	1133(c) Exclusions from Safe Harbor
	1140. STANDARDS FOR APPROVAL OF APPLICATION
	1141. General Provisions
1014(a) Standards for Admission	1142. Standards
1014(a)(1) – complete and accurate application [or overview of applicant]	1142(a) Complete and Accurate Application
1014(a)(2) – licenses and registrations	1142(b) Licenses and Registrations, and Continuing Education
—	1142(c) Source of Funding
1014(a)(3) – compliance with securities laws, and just and equitable principles of trade	1142(d) Compliance with Securities Laws, and Just and Equitable Principles of Trade
1014(a)(4) – contractual and business relationships	1142(e) Contractual and Business Relationships
1014(a)(5) – facilities	—
1014(a)(6) – communications and operational systems	1142(f) Communications and Operational Systems
1014(a)(7) – net capital	1142(g) Financial and Operational Controls; Capital
1014(a)(8) – financial controls	—

Current NASD Rules	Proposed FINRA Rules
1014(a)(9) – control mechanisms consistent with industry practices	—
1014(a)(10) – supervisory system	1142(h) Supervisory System
1014(a)(11) – recordkeeping system	1142(i) Recordkeeping System
1014(a)(12) – continuing education	—
1014(a)(13) – other information possessed by FINRA	1142(j) Other Information Possessed by FINRA
1014(a)(14) – consistency with federal securities laws	—
	<ul style="list-style-type: none"> ••• Supplementary Material: ----- • 1142.01. Pending Qualifications for Associated Persons
1014. Department Decision	1150. DEPARTMENT DECISION
1014(a) Standards for Admission	1151. Timing of Decision
1014(b) Granting or Denying Application	1152. Department Decision on the Application
1014(c) Decision	1152(a) Granting or Denying the Application
1014(c)(1) Time	1152(b) Effectiveness of Restriction
1014(c)(2) Content	1152(c) Presumption to Deny the Application
1014(c)(3) Failure to Serve Decision	1153. Content of Decision
1014(d) Submission of Membership Agreement	1154. Submission of Executed Written Membership Agreement
1014(e) Service and Effectiveness of Decision	1155. Service and Effectiveness of Decision; Final Action
1014(f) Effectiveness of Restriction	1155(a) Service and Effectiveness of Decision
1014(g) Final Action	1155(b) Final Action
	1160. REVIEW OF DEPARTMENT DECISION
	1161. Ex Parte Communications
	1161(a) Prohibited Communications
	1161(b) Disclosure of Prohibited Communications
1015. Review by National Adjudicatory Council	1162. Appeal to the National Adjudicatory Council
1015(a) Initiation of Review by Applicant	1162(a) Time to File Notice of Appeal
1015(b) Transmission of Documents	1162(b) Where to File Notice of Appeal; Methods of Service
1015(c) Membership Application Docket	1162(c) Effect
1015(d) Appointment of Subcommittee	1162(d) Content of Notice of Appeal
1015(e) Powers of Subcommittee	1162(e) Withdrawal of Notice of Appeal
1015(f) Hearing	1162(f) Abandonment of Appeal
1015(f)(1) Notice	
1015(f)(2) Counsel	
1015(f)(3) Evidence	
1015(f)(4) Transcript	
1015(g) Additional Information, Briefs	
1015(h) Abandonment of Request for Review	
1015(i) Subcommittee Recommendation	
1015(j) Decision	
1015(j)(1) Proposed Written Decision	
1015(j)(2) Contents	
1015(j)(3) Issuance of Decision After Expiration of Call for Review Periods	
1015(j)(4) Failure to Issue Decision	

Current NASD Rules	Proposed FINRA Rules
	1163. Appointment and Powers of Subcommittee; Recusal and Disqualification, or Withdrawal
	1163(a) Appointment of Subcommittee by National Adjudicatory Council
	1163(b) Powers of Subcommittee
	1163(b)(1) General
	1163(b)(2) Scheduling Conference
	1163(b)(3) Function
	1163(b)(4) Additional Information, Briefs
	1163(c) Recusal and Disqualification, or Withdrawal
	1163(c)(1) Recusal and Disqualification
	1163(c)(1)(A) FINRA Board
	1163(c)(1)(B) National Adjudicatory Council
	1163(c)(1)(C) Motion for Disqualification
	1163(c)(2) Withdrawal
	1164. Transmission of Record, Exhibit and Witness Lists; Withheld Documents
	1164(a) Transmission of Record
	1164(b) Exhibit and Witness Lists
	1164(c) Withheld Documents
	1164(d) Withheld Document List
	1165. Hearing
	1165(a) When Held; Notice
	1165(b) Counsel
	1165(c) Evidence
	1165(d) Testimony
	1165(e) Transcript
	1166. Recommended Decision of Subcommittee and Decision of National Adjudicatory Council
	1166(a) Recommended Decision of Subcommittee
	1166(b) Decision of National Adjudicatory Council
	1166(b)(1) Decision
	1166(b)(2) Contents of Decision
	1166(b)(3) Issuance of Decision After Expiration of Call for Review Period
	1166(b)(4) Failure to Issue Decision
1016. Discretionary Review by FINRA Board	1167. Discretionary Review by FINRA Board
1016(a) Call For Review By Governor	1167(a) Call for Review by Governor
1016(b) 15 Day Period; Waiver	1167(b) 15-Day Period; Waiver
1016(c) Review At Next Meeting	1167(c) Review at Next Meeting
1016(d) Decision of FINRA Board, Including Remand	1167(d) Decision of FINRA Board, Including Remand
1016(e) Issuance of Decision	1167(e) Issuance of Decision
1019. Application to Commission for Review	1168. Application to SEC for Review

Current NASD Rules	Proposed FINRA Rules
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¹ Not yet effective.

² Current FINRA rule number is 1122.

³ Current FINRA rule title is Member Application Process.