

SEC Publishes Regulation SHO Frequently Asked Questions



Please Route To: Head of NASDAQ Trading; Technical Contacts; Compliance Officers

What you need to know:

- The SEC has published responses to Frequently Asked Questions concerning Regulation SHO.

Who Should You Contact: [NASDAQ Market Sales](#) at 800.846.0477.

Where can I find the Regulation SHO Frequently Asked Questions?

On December 17, 2004, the Securities and Exchange Commission (SEC) published responses to frequently asked questions on Regulation SHO. The [responses](#) can be found on the SEC website.

When do I need to comply with Regulation SHO?

As per this SEC [order](#), the pilot portion of the program will now start on May 2, 2005, and end on April 30, 2006. Firms must comply with all other provisions of Regulation SHO on January 3, 2005, according to the [adopting release](#).

Where can I go for more information on Regulation SHO?

- Please refer to [Head Trader Alert #2004-108](#) and [Head Trader Alert #2004-155](#),
- Visit www.sec.gov, or,
- Contact [NASDAQ Market Sales](#) at 800.846.0477.

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