

APA-2
07/04

(Agency Name)
(Agency Division, if applicable)

NOTICE OF INTENDED ACTION

AGENCY NAME: Alabama Securities Commission

RULE NO. & TITLE: Rule 830-X-3 .28 - The Use of Senior-Specific Certifications and Professional Designations

INTENDED ACTION: To ensure that professional designations and senior-specific certifications used by registered persons in the securities industry are not misleading.

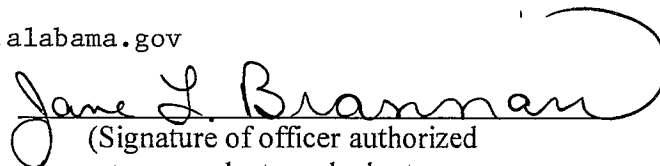
SUBSTANCE OF PROPOSED ACTION: The Rule requires that professional designations and senior-specific certifications are legitimate and not self-conferred. The Rule requires that the designation be earned and awarded according to accepted educational and training criteria.

TIME, PLACE, MANNER OF PRESENTING VIEWS: Comments may be submitted in writing or via to Jane Brannan., Esq., Alabama Securities Commission, 770 Washington Ave., Suite 570, Montg., AL 36130-4700, (334) 242-2984. jane.brannan@asc.alabama.gov

FINAL DATE FOR COMMENT AND COMPLETION OF NOTICE: September 4, 2008

CONTACT PERSON AT AGENCY:

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(Signature of officer authorized
to promulgate and adopt
rules or his or her deputy)