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Implications of the SEC's Plans to Amend Rule 15b9-1

March 24, 2015 | Articles & Books

The SEC plans to vote on a proposal on March 25 to amend Exchange Act Rule 15b9-1, which currently enables a certain group of limited business broker-dealers to avoid FINRA membership. In a recent guest commentary in Traders Magazine, Annette Nazareth and Jeff Dinwoodie of Davis Polk's Financial Institutions Group discuss some of the rulemaking's potential implications.

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