Davis Polk

Guidance on Rule 15a-6 and Foreign Broker-Dealers

March 27, 2013 | Client Update

The staff of the SEC's Division of Trading and Markets recently released answers to frequently asked questions ("FAQs") about Securities Exchange Act Rule 15a-6, which are available here. While the FAQs largely do not break new ground, they do provide some useful clarifications and confirmations of existing interpretations.

If you have any questions regarding the matters covered in this publication, please reach out to any of the lawyers listed below or your usual Davis Polk contact.

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