

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.

Annette L. Nazareth

+1 202 962 7075

annette.nazareth@davispolk.com

Zachary J. Zweihorn

+1 202 962 7136

zachary.zweihorn@davispolk.com

This communication, which we believe may be of interest to our clients and friends of the firm, is for general information only. It is not a full analysis of the matters presented and should not be relied upon as legal advice. This may be considered attorney advertising in some jurisdictions. Please refer to the firm's privacy notice for further details.

Related materials

[Read the full update](#)