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FINRA Proposes Desk Commentary Safe Harbor

April 27, 2017 | Client Update

FINRA has published a regulatory notice requesting comment on a long-awaited proposal to create a safe harbor that will exempt qualifying desk commentary from most of its equity and debt research rules. Comments on the proposal, which has been proposed for member comment but not submitted to the SEC as a rule filing, are due by May 30, 2017.

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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