

FINRA Files Amended Communications Rules – Impact on Structured Products

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On July 14, 2011, the Financial Industry Regulatory Authority, Inc. filed with the Securities and Exchange Commission a proposal to adopt various rules in the Consolidated FINRA Rulebook affecting members' communications with retail and institutional investors, as well as with internal sales forces, and these amendments will likely affect the offer and sale of structured products in several important ways.

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.

Sarah E. Beshar

+1 212 450 4131
sarah.beshar@davispolk.com

Albert Cua

+1 212 450 4554
albert.cua@davispolk.com

Alan F. Denenberg

+1 650 752 2004
alan.denenberg@davispolk.com

Ray Ibrahim

+1 212 450 6155
ray.ibrahim@davispolk.com

Warren Motley

+1 212 450 4032
warren.motley@davispolk.com

Christopher S. Schell

+1 212 450 4011
christopher.schell@davispolk.com

Linda A. Simpson

+1 212 450 4332
linda.simpson@davispolk.com

Vidal Vanhoof

+1 212 450 4237
vidal.vanhoof@davispolk.com

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