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CFNI.GC CFN.GC Contifinancial Corp. 7.500 03/15/02 PKG.GA PKCA.GA Packaging Corp. Amer 9.625 04/01/09 ROIA.GA RDIO.GA Radio One Inc. 7.000 05/15/04 TNAU.GA TEN.GA Tenneco Automotive Inc. 11.625 10/15/09 All Bonds Listed Above Are Subject To Trade-reporting Requirements. Questions Pertaining To FIPS Trade-reporting May 16th, 2024

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Carries Customer Accounts Must File With The Commission Part I Of Form X-17A-5 (§ 249.617 Of This Chapter) Within 10 Business Days After The End Of Each Month. /01 NYSE Monthly Part II Requirement . The NYSE Requires Monthly Filing Of Part II Of

Form X-17A-5 Report For All Members And Member Organizations Required To File Part I Of Form X-17A-5. Feb 6th, 2024

Regulatory Notice 10-57 - FINRA

Eric Moss, Vice President, Emerging Regulatory Issues, Or Mo Saleh, Director, Emerging Regulatory Issues, At (202) 728-8472. Amr M. El-Sabbagh, Director, Risk Oversight And Operational Risk, At (646) 315-8739. Regulatory Notice 10-57 November 2010 Apr 18th, 2024

4210. Margin Requirements - FINRA.org

As Shown By Any Regularly Published Reporting Or Quotation Service, Except For Security Futures Contracts (see Paragraph (f)(10)(C)(ii)). If There Is No Closing Price, A Member May Use A Reasonable Estimate Of The Market Value Of The Security As Of The Close Of Business On The Preceding Business Day. Jan 12th, 2024

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VIA Electronic Submission - FINRA.org

OTC Markets Group Is The Operator Of OTC Link ATS, The Primary Interdealer Quotation System For Broker-dealers To Quote And Trade Securities That Are The Subject Of A Form 211, And Thus Is Uniquely Positioned To Provide Form 211 Information To The Public. In Fact, FINRA Has Traditionally Provided Copies Of Filed Form 211s To OTC Markets Group For Apr 13th, 2024

Frequently Asked Questions About FINRA Rule 2111 - Suitability

Source: FINRA Rule 2111 (Suitability) FAQ, Q5.2; FINRA Regulatory Notice 13-31; NASD Notice To Members 05-26. Customer-Specific Suitability What Is The Customer-specific Obligation? The Customer-specific Obligation Requires That A Member Or Associated Person Have A Reasonable Basis To Believe Mar 6th, 2024

Report On FINRA Examination Findings

Suitability For Retail Customers FINRA Rule 2111 (Suitability) Establishes A

Fundamental Responsibility For Firms And Associated Persons To Deal With Customers Fairly¹ And Is Composed Of Three Main Obligations: (1) Reasonable-basis Suitability; (2) Customer-specific Suitability; And (3) Quantitative Suitability. FINRA Continues Mar 12th, 2024

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Large, The Application Of The Long-standing “suitability” Requirement In FINRA’s Rule 2111. Under The Existing FINRA Suitability Rule, Broker-dealers Have Been Required, In Making Any Recommendation To A Customer, To “have A Reasonable Basis To Believe” That The Recommendation Is “suitable” For The Customer, “based On The Feb 19th, 2024

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