



Broker-Dealer Regulation (September 2015 Edition): 4

Clifford E. Kirsch

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Updated to include coverage of the significant FINRA and SEC responses to the economic downturn, the new second edition of **Broker-Dealer Regulation** provides you with a complete and practical understanding of the many requirements of this highly regulated area. This two-volume work ensures that you satisfy SEC/SRO standards governing your firm, with detailed coverage of:

- Registration reporting and recordkeeping rules
- Suitability and best execution standards
- Ways of minimizing liability in the event of legal lapses, by documenting good-faith compliance efforts
- The implementation of a tailor-made compliance program that can help detect and prevent illegal conduct within the firm

Broker-Dealer Regulation is filled with practical suggestions on how to best comply with requirements in such areas as electronic trading, safeguarding customer information, trading desk activities and business continuity planning. Recent updates have covered new FINRA Rule 2111 which governs what are and what are not suitable customer transactions • the SEC's renewed emphasis on pursuing insider trading claims under 10b5-2 • the SEC's recently adopted Rule 15c3-5 on allocation between clearing firm and introducing broker in connection with risk management controls for clearing firms providing market access • and a new Chapter 21A on outsourcing issues for financial services firms.

Updated at least once a year, **Broker-Dealer Regulation** is an invaluable resource for broker-dealers, securities attorneys, compliance officers, and regulators.

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