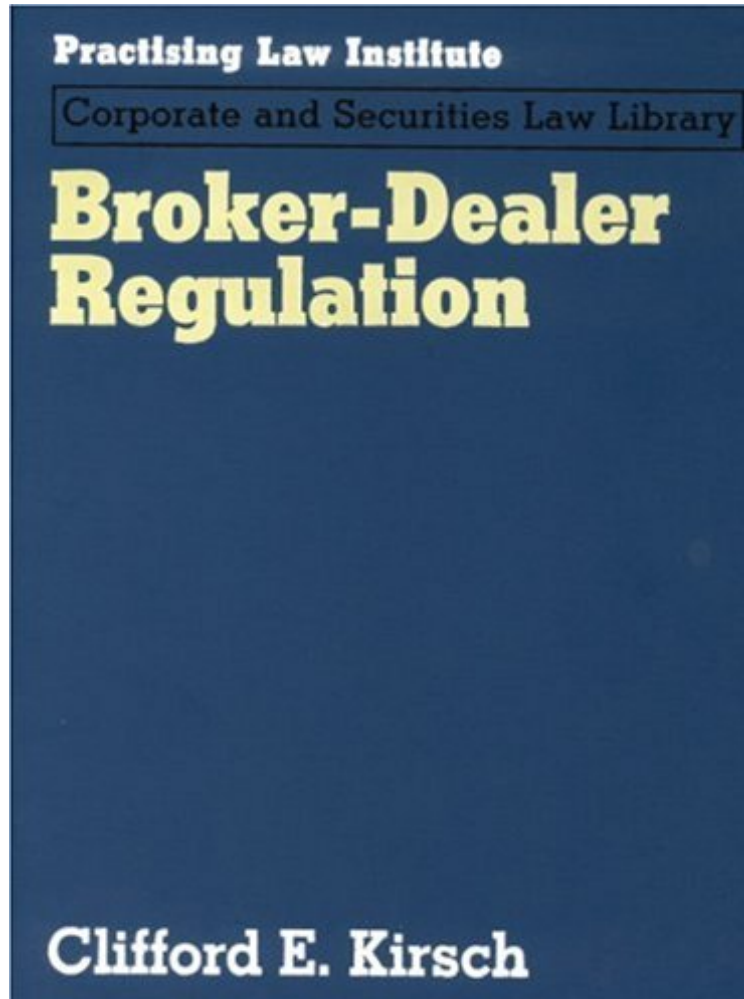


(Online library) Broker-Dealer Regulation (2 Volume Set)

## Broker-Dealer Regulation (2 Volume Set)

*Clifford Kirsch*

*\*Download PDF / ePub / DOC / audiobook / ebooks*



DOWNLOAD



+

READ ONLINE

#12577478 in Books 2010-11-19Original language:EnglishPDF # 1 .0 x .0 x .0l, .0 #File Name:  
14024054131600 pages | File size: 66.Mb

**Clifford Kirsch : Broker-Dealer Regulation (2 Volume Set)** before purchasing it in order to gage whether or not it would be worth my time, and all praised Broker-Dealer Regulation (2 Volume Set):

Major changes in broker-dealer regulation are imminent as a result of today s financial services crisis. At the same time, broker-dealers and their legal advisers also need a firm grounding in the basic regulatory regime that currently governs the industry. PLI s Broker-Dealer Regulation can ensure you stay up to speed with the many new regulations coming your way and gain a solid, working grasp of today s standards. This essential, accessible reference will show you how FINRA, the newly created single regulatory organization, will continue to develop a single set of securities rules and how that will affect your work. Broker-Dealer Regulation also helps you to satisfy current federal and state

registration requirements; suitability, best execution and other essential practice standards (and avoid charges of negligence, recklessness, unauthorized trading, or unsuitable recommendations); rules governing compensation disclosure, and advertising and communication guidelines. Broker-Dealer Regulation also allows you to track the direction of recent regulatory enforcement activity by the SEC, FINRA, and states. Updated at least once a year, Broker-Dealer Regulation is an invaluable resource for broker-dealers, securities attorneys, compliance officers, and regulators.

About the Author Clifford E. Kirsch is a Partner at Sutherland LLP in New York City. A former Vice President and Senior Corporate Counsel at The Prudential Insurance Company of America, Mr. Kirsch was on the staff of the SEC's Division of Investment Management from 1985 to 1994.