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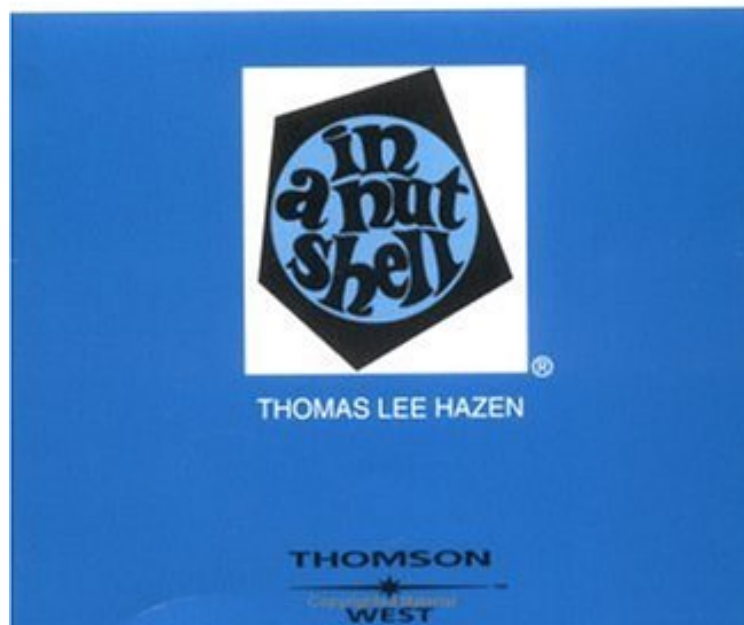
Broker-Dealer Regulation in a Nutshell (Nutshell Series)

Thomas Lee Hazen

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Thomas Lee Hazen : Broker-Dealer Regulation in a Nutshell (Nutshell Series) before purchasing it in order to gage whether or not it would be worth my time, and all praised Broker-Dealer Regulation in a Nutshell (Nutshell Series):

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People in the industry should read to help explain some of the methods to the madness.

This title is designed to provide an introduction and overview of broker-dealer regulation in the securities markets. It covers broker-dealer front office and back office issues as well as market regulation generally. It gives you with an understanding of basic concepts and the underlying regulatory scheme, providing an explanation of broker-dealer regulation generally, sales practices, analysts' conflicts of interest, civil liabilities, and arbitration. This title also provides an overview of industry self-regulation under FINRA (the Financial Industry Regulatory Authority).