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03-39 NASD Announces Implementation of the First Phase of Electronic Fingerprint Processing in July 2003 and Amends Section 4 of Schedule A to the NASD By-Law to Increase and Establish New Fingerprint Processing Fees (This Notice was withdrawn on 07/09/03)

FINRA Manual - Notices - 2003 - 03-06 NASD to Refund

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the National Association of Securities Dealers, Inc. "FINRA" means the Financial Industry Regulatory Authority, Inc. (2) Broker-dealer registration, supervision, post registration, renewal, and

CHAPTER 20:08:03 BROKER-DEALER AND AGENT RULES

NASD Rule 2510, which is incorporated into the FINRA Manual, specifically prohibits brokers or investment advisers from executing discretionary trades unless. other things, gave FINRA the authority to grant exemptive relief from the OATS reporting requirements for

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NASD to immediately reflect the currently applicable rules in the NASD Manual. In addition, Rule 19b-4(f)(6) requires the self-regulatory organization to give the Commission written notice of its intent to file the proposed rule change, along with a brief

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