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Securities Exchange Act of 1934 **Broker Dealer Registration and the CAB Rules**

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The Difference Between True and False ECN/STP Brokers **Trading Over the Counter LawCast Guide to Broker Dealer Registration and Finders Fees**

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A broker-dealer (B-D) is a person or firm in the business of buying and selling securities for its own account or on behalf of its customers. The term broker-dealer is used in U.S. securities...

Broker-Dealer Definition

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This work is a two-volume treatise that zeroes in on crucial back-office operations issues faced by broker-dealers everyday. It includes protection, use of customer funds, net capital requirements, record-keeping, reporting and credit regulations. In addition, the work offers an overview of the historical development of broker-

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dealer practices and the regulatory framework that has grown up around them. It also integrates coverage of commodities regulation throughout the text, often comparing and contrasting the different ways securities and commodities regulatory schemes impact upon specific broker-dealer activities.

The 2017 edition gives up-to-date industry-specific guidance needed to be able to tailor operations with the most current standards and regulations. Included are new best practices and interpretive guidance to industry-specific considerations, this guide has you covered. This edition offers “best practice” discussion of industry-specific issues such as fair value accounting and related

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disclosures, as well as compliance with regulatory requirements. Further, new guidance on initial margin has been approved in accordance with applicable AICPA requirements.

Pursuant to a congressional request, GAO studied the securities industry oversight process, focusing on: (1) the history of securities and futures trading; (2) the detailed operations of the securities and futures markets; and (3) the self-regulatory organizations that govern the two markets. GAO noted that: (1) competitive changes in the securities and futures exchange industries have resulted from changes in inflation and interest rates, technological advances in information and communications, changes in the federal regulatory climate, and increased overlap of securities and futures products; (2) the Securities and Exchange Commission (SEC) and the Commodity Futures Trading Commission (CFTC) have primary federal responsibility for regulating the securities and futures markets, respectively; and (3) the evolution of the financial markets has given rise to fears that new and unacceptable risks may accompany competitive changes. GAO also noted that: (1) securities markets began to develop very early in the nation's history, but Congress did not establish a federal role in securities regulation until 1933, when it enacted the Securities Exchange Act; (2) since

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1933, Congress has gradually expanded SEC authority and responsibilities; and (3) self-regulatory organizations, such as the stock exchanges and the National Association of Securities Dealers, engage in many regulatory activities under SEC oversight. In addition, GAO noted that: (1) commodity futures contracts stabilize commodity prices and offer farmers and investors the opportunity to better manage financial risks; (2) self-regulatory organizations perform most regulatory functions in the futures markets, under CFTC supervision; and (3) both SEC and CFTC monitor self-regulatory organizations under their jurisdiction using market analysis techniques to identify various possibly illegal transactions.

The go-to guide to acing the Series 99 Exam! Passing the Operations Professional Qualification Exam (Series 99) qualifies an individual to perform a variety of operations functions in support of a broker-dealer. The exam covers the broker-dealer business at a fundamental level, standard operations functions, investor protection and market integrity regulations, identifying and escalating regulatory red-flag issues to the appropriate person in a firm, and professional conduct and ethical standards. There are no prerequisites for the Series 99 Exam, but all candidates must be sponsored by a FINRA member firm. Created by the experts at The Securities Institute of America, Inc.,

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Wiley Series 99 Exam Review 2020 arms you with everything you need to pass this challenging 100-question test. Designed to help you build and fine-tune your knowledge of all areas covered in the exam and to guarantee that you're prepared mentally and strategically to take the test, it provides: Dozens of examples Assorted practice questions for each subject area covered in the exam Priceless test-taking tips and strategies Helpful hints on how to study for the test, manage stress, and stay focused Wiley Series 99 Exam Review 2020 is your ticket to passing the Series 99 test on the first try—with flying colors!

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