

FINRA Requests Comment on a Proposed Rule Set for Limited Corporate Financing Brokers

03/05/2014

The Financial Industry Regulatory Authority, Inc. recently issued Regulatory Notice 14-09, which solicited comments on a proposed rule set for an entirely new category of broker-dealers called limited corporate financing brokers.

Less Than 1 Min Read

Related Locations

Charlotte

Chicago

Houston

Los Angeles

New York

San Francisco

Washington, DC

Related Topics

Financial Services

FINRA

Related Capabilities

Transactions

Financial Innovation & Regulation

Financial Services Litigation

Financial Services

Related Professionals



Basil Godellas