

CLIENT ALERT

Amendments to Uniform Branch Office Registration Form (Form BR)

MARCH 26, 2014

FINRA recently announced the approval by the Securities and Exchange Commission of amendments to the Uniform Branch Office Registration Form (Form BR). The amendments include a number of changes to the information to be provided on Form BR, including a requirement that firms identify whether a branch office shares space with any other investment related entity. The amendments apply to new and amended filings and become effective April 7, 2014.

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