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SR-FINRA-2017-027 - Proposed Rule Change.

Proposed Rule Change Relating to Capital Acquisition Broker Rules 203 (Engaging in Distribution and Solicitation Activities with Government Entities) and 458 (Books and Records Requirements for Government Distribution and Solicitation Activities)

Financial Industry Regulatory Authority, Inc. (“FINRA”) is filing with the Securities and Exchange Commission (“SEC” or “Commission”) a proposed rule change to adopt Capital Acquisition Broker Rules 203 (Engaging in Distribution and Solicitation Activities with Government Entities) and 458 (Books and Records Requirements for Government Distribution and Solicitation Activities) that would apply established “pay-to-play” and related rules to the activities of member firms that have elected to be governed by the Capital Acquisition Broker (“CAB”) Rules and that engage in distribution or solicitation activities for compensation with government entities on behalf of investment advisers.

Read the Proposed Rule Change.

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