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SEC Final Rules Update: Financial Responsibility Rules for Broker-Dealers.

The Securities and Exchange Commission (“Commission”) is adopting amendments to the net capital, customer protection, books and records, and notification rules for broker-dealers promulgated under the Securities Exchange Act of 1934 (“Exchange Act”). These amendments are designed to address several areas of concern regarding the financial responsibility requirements for broker-dealers. The amendments also update certain financial responsibility requirements and make certain technical amendments.

The full Rules Update is available at:

<http://www.sec.gov/rules/final/2013/34-70072.pdf>

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