

# **Bond Case Briefs**

*Municipal Finance Law Since 1971*

---

## **Bond Dealers of America Sends Comment Letter to SEC Study Regarding Obligations of Brokers, Dealers, and Investment Advisers.**

BDA recently commented on the current study the SEC is conducting on the effectiveness of the existing legal or regulatory standards of care for brokers, dealers and investment advisers when providing personalized investment advice and recommendations to retail investors and whether there are gaps, shortcomings or overlaps in the protection of retail customers. The comment letter is available at:

<http://www.bdamerica.org/wp-content/uploads/2010/12/8-10BDA-comments-File-No.-4-606-Retail-Standard-of-Care.docx>

Copyright © 2024 Bond Case Briefs | [bondcasebriefs.com](http://bondcasebriefs.com)