

Bond Case Briefs

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FINRA Requests Comment on the Application of Certain Rules to Government Securities and to Other Debt Securities More Broadly.

Summary

FINRA is requesting comment on the application of the following rules to government securities, including U.S. Treasury securities: FINRA Rules 2242 (Debt Research Analysts and Debt Research Reports); 5240 (Anti- Intimidation/Coordination); 5250 (Payments for Market Making); 5270 (Front Running of Block Transactions); 5280 (Trading Ahead of Research Reports); 5320 (Prohibition Against Trading Ahead of Customer Orders); and NASD Rules 1032(f) (Securities Trader), 1032(i) (Limited Representative - Investment Banking) and 1050 (Registration of Research Analysts). In addition, FINRA is requesting comment on the application of FINRA Rule 5320 as well as NASD Rules 1032(f) and 1050 to all debt securities, in addition to government securities.

Questions regarding this Notice should be directed to:

Afshin Atabaki, Associate General Counsel, Office of General Counsel (OGC), at (202) 728-8902; or Meredith Cordisco, Associate General Counsel, OGC, at (202) 728-8018.

Comment Period Expires: April 9, 2018

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