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## PART I: Introduction, Broker-Dealer Status and Registration

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*Clifford E. Kirsch*

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*Andrew J. Shipe*

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*Robert Colby, Lanny A. Schwartz & Zachary J. Zweihorn*

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*Frederick Wertheim*

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*G. Philip Rutledge*

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## Chapter 5B FINRA Membership

*Clifford E. Kirsch & Ben Marzouk*

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*Seth T. Taube & Bridget Moore*

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*Kay A. Gordon*

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*Lilya Tessler & Brynn M. Rail*

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*Lauren C. Jackson*

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*Holly H. Smith & Sarah Sallis*

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*Ki P. Hong & Tyler Rosen*

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## **PART XIII: Retirement Marketplace**

### **Chapter 41 Reserved**

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*Carol T. McClarnon, W. Mark Smith & Clifford E. Kirsch*

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## Chapter 42A Reserved

# PART XIV: Broker-Dealer Cross-Border Activities

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*Christopher D. Christian*

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*Sean D. Sadler & Michael C. Nicholas*

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*Ernest Edward Badway*

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*Jack P. Drogin*

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*Jerome J. Roche, Jacques L. Schillaci & Ja Hyeon Park*

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*Russell D. Sacks & Steven R. Blau*

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## Chapter 50 Integrating a New Broker-Dealer into a Corporate Group: Regulatory Considerations and Rules of the Road

*Hilary Sunghee Seo, Lanny A. Schwartz, Nancy Lee,  
Tom Lodder, Tom Balogh & Olivia Kendall-Martin*

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*Clifford E. Kirsch, Ben Marzouk & Andrew Mount*

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*Russell D. Sacks & Steven R. Blau*

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*David F. Freeman, Jr.*

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*Steffen Hemmerich & Stephen Vogt*

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