

Series 24 Study Guide 2024

Reg M Rule 103

- ✓ MM also a syndicate member elects to function as passive mm
- Notification to Nasdaq 1 biz day before restricted period
- Identifier PSMM must be used
- Passive bids no higher than highest indep. bid
- Indep market must exist
- Subject to limit order display rule

6 Year Filings

- ✓ Blotters (Day book, journal, diary)

General Ledgers

Stock Record

Statements

Customer Account Records

Principal designation record

Series 22

- ✓ Allowed to sell DPP's

Foreign Associates Must...

- ✓ Register with Finra, but are exempt from having to pass an exam.

Series

27

51

53

- ✓ 27 = Supervise the preparation of financial reports

51 = Sup. activities of municipal fund

- such as 529 plan and local govt inv pools only

53 = Sup. purchase of municipal securities

Kept at OSJ and Supervisory office

- ✓ Memers written Supervisory Procedures

Finra Manuel - Must be avail to cust.

- Electronically avail ok

Telemarketing Recording Reports sent to Finra...

- ✓ Quarterly

Advertising and Sales Literature of

Inv Co's, DPP's, Govt. Sec filed...

- ✓ Within 10 days of first use

Ins 24 Study Guide

Shasha Hu



Ins 24 Study Guide:

Eventually, you will totally discover a new experience and endowment by spending more cash. nevertheless when? realize you acknowledge that you require to acquire those all needs subsequently having significantly cash? Why dont you attempt to acquire something basic in the beginning? Thats something that will guide you to comprehend even more almost the globe, experience, some places, taking into account history, amusement, and a lot more?

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