

Rule 43

Linkage (Cross-References)

>Notices (5)

Notice No. 16-0100 — Rules Notice – Technical – Personal Financial Dealings with Clients - Updated deadline for unwinding existing trustee, executor and power of attorney arrangements (May 10, 2016)

Notice No. 15-0256 — Rules Notice – Technical – Personal Financial Dealings with Clients - Extension of deadline date for the unwinding of existing trustee, executorship and power of attorney arrangements prescribed by Dealer Member Rule 43.2(5)(i) (November 17, 2015)

Notice No. 15-0096 — Rules Notice – Technical – Personal Financial Dealings with Clients - Extension of deadline date for the unwinding of existing trustee, executorship and power of attorney arrangements prescribed by Dealer Member Rule 43.2(5)(i) (April 29, 2015)

Notice No. 14-0103 — Rules Notice – Request for Comments — Proposed Personal Financial Dealing amendments (April 24, 2014)

Notice No. 13-0162 — Rules Notice – Notice of Approval / Implementation — Personal financial dealing and outside business activities (June 13, 2013)