

Rule 200.1

Linkage (Cross-References)

> Notices (3)

Notice No. 15-0128 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Housekeeping changes to Dealer Member Rule 200 and changes to effective dates for amendments to Dealer Member Rule 200 and to Dealer Member Form 1 relating to the implementation of CRM2 (June 11, 2015)

Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

Rule 200.2 [formerly 200.1]

Linkage (Cross-References)

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Rule 200.2(d) Client account statements [formerly 200.1(c)]

Linkage (Cross-References)

>Bulletins and Notices (5)

Notice No. 16-0113 - Technical Notice - Client Relationship Model (“CRM”) - Frequently Asked Questions (May 30, 2016)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

Bulletin No. 3111 - By-Laws and Regulations - Amendment to Regulation 200, Minimum Records (February 4, 2003)

MR0087 - Consolidated Statements (August 2, 2001)

Rule 200.2(e) Report on client positions held outside of the Dealer Member

Linkage (Cross-References)

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Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Rule 200.2(f) Performance report

Linkage (Cross-References)

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Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Rule 200.2(g) Fee / charge report

Linkage (Cross-References)

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Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Rule 200.2(l) Trade confirmations [formerly 200.1(h)]

Linkage (Cross-References)

>Bulletins and Notices (12)

Notice 17-0188 - Rules Notice - Notice of Approval/Implementation - Amendments to trade-confirmation suppression requirements (September 28, 2017)

Notice No. 17-0133 - Rules Notice - Notice of Approval/Implementation - Amendments to facilitate the investment industry's move to T+2 settlement (June 29, 2017)

Notice No. 15-0128 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Housekeeping changes to Dealer Member Rule 200 and changes to effective dates for amendments to Dealer Member Rule 200 and to Dealer Member Form 1 relating to the implementation of CRM2 (June 11, 2015)

Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

Notice No. 13-0283 - Rules Notice - Guidance Note - Guidance on Marketplace and Average Price Disclosure for Trade Confirmations (November 25, 2013)

Notice No. 13-0231 - Administrative Notice - Notice of Approval - Trade Confirmation and Matching Requirements (September 6, 2013)

Notice No. 11-0256 - Rules Notice - Notice of Approval / Implementation - Over-the-counter securities fair pricing rule and confirmation disclosure requirements (September 1, 2011)

MR0361 - Unilateral Mutual Fund Substitutions (July 20, 2005)

Bulletin No. 3259 - By-Laws and Regulations - Amendment to Regulation 200.1(h): Confirmations of Managed Account Transactions (March 12, 2004)

Bulletin No. 2729 - By-Laws and Regulations - Amendment Regarding Electronic Confirmations - Regulation 200.1(h) (May 23, 2000)

Bulletin No. 2406 - By-Laws and Regulations - Trade Confirmations For Managed Accounts (September 30, 1997)

Rule 200.2(m) Records of cash and margin accounts [formerly 200.1(i)]

Linkage (Cross-References)

> Notices (2)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

MR0177 - Electronic Signatures (November 18, 2002)

Rule 200.2(r) Account transfer records [formerly 200.1(n)]

Linkage (Cross-References)

>Bulletins and Notices (2)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

Bulletin No. 2618 - By-Laws and Regulations - Amendments to Regulation 2300 and 200.1, Account Transfers (September 1, 1999)

Rule 200.3 Option of earlier date

Linkage (Cross-References)

>Notices (2)

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Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Rule 200.4 Timing of the sending of documents to clients

Linkage (Cross-References)

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Notice No. 15-0013 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rule 200 and to Dealer Member Form 1 (January 19, 2015)

Guide to interpretation of Rule 200.2, (o) & (q) “Money trail balances and capital computations” [formerly 200.1, (k) & (m) “Money trail balances and capital computations”]

Linkage (Cross-References)

>Bulletins and Notices (2)

Notice No. 14-0133 - Rules Notice - Notice of Approval / Implementation - Client Relationship Model - Phase 2 Performance Reporting and Fee / Charge Disclosure amendments to Dealer Member Rules 29, 200 and 3500 and to Dealer Member Form 1 (May 29, 2014)

Bulletin No. 3282 - By-Laws and Regulations - Elimination of District Association Auditors and Alternate District Association Auditors - Effective 12 July 2004 (May 10, 2004)