

Rule 3300

Linkage (Cross-References)

>Notices (3)

Notice No. 17-0137—Rules Notice – Notice of Approval / Implementation – Amendments Respecting Best Execution (July 6, 2017)

Notice No. 11-0257 — Rules Notice – Guidance Note — Guidance on fair pricing of over-the-counter securities (September 1, 2011)

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