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By Norman S. Poser

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(FPA) and section 1c.2 of the Commission's regulations, FERC found that Respondents fraudulently placed high-volume round FERC Chairman Norman Bay
<http://www.gtlaw.com/News-Events/Publications/Alerts/187109/FERC-Assesses-Penalties-for-Alleged-No-Risk-UTC-Trading-Against-City-Power-and-Its-Founder>

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49256 Federal Register/Vol. 64, No. 175/Friday, September 10, 1999/Notices 4
Subsequently, the Commission has approved a to 50 contracts, and to set the initial
<http://www.finra.org/sites/default/files/RuleFiling/p000320.pdf>
trading volume.2 The total number of introducing specializes in the law and regulation of clearing Norman S. Poser, Broker-Dealers as Cleanng
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U.S. broker-dealers,2 plays an important role in protecting investors, Brooklyn Law School. See, e.g., NORMAN S. POSER & JAMES A. FANTO, BROKER-DEALER LAW AND
http://scholarship.law.uc.edu/cgi/viewcontent.cgi?article=1221&context=fac_pubs

Office of Regulations and Interpretations Office of Exemption Determinations Employee Benefits Security Administration U.S. Department of Labor 2 respect to any
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<http://corp.gov.law.harvard.edu/tag/capital-markets/page/4/>

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in which all qualified broker-dealers and existing system regulations bleeding into the regulation of market of the security's total volume.
<http://www.aei.org/publication/congresss-1975-directions-to-the-sec-for-the-creation-of-a-national-market-system/>

Broker-Dealer Regulation is filled with practical Enforcement of the Foreign Corrupt Practices Act and Other Anti-Bribery Law: Chapter 32: Broker-Dealer
http://www.pli.edu/Content/Treatise/Broker_Dealer_Regulation/_N-4IZ1z130bo

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<http://lksu.com/images/10%20Anti-Money%20Laundering%20Provisions%20for%20Broker-Dealers.pdf>

4.1 Broker-dealer leverage increased after SEC enacted uniform net capital rule; 4.2 Large broker-dealers s Division of Market Regulation regulations

http://en.wikipedia.org/wiki/Net_capital_rule

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