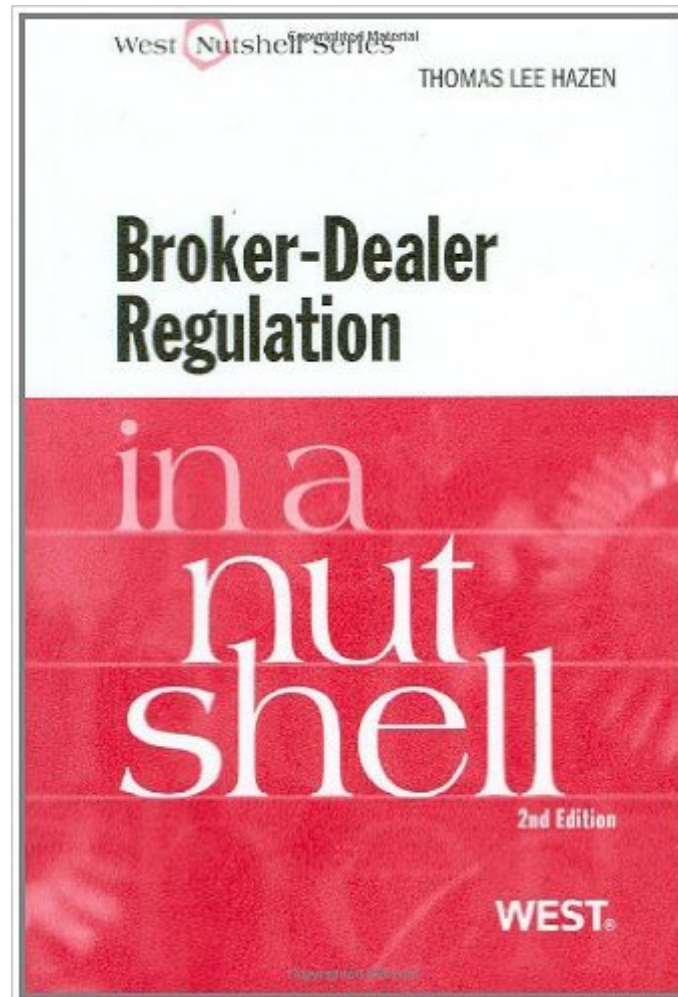# Broker-Dealer Regulation In A Nutshell

Synopsis

This title is designed to provide an introduction and overview of broker-dealer regulation in the securities markets. It covers broker-dealer front office and back office issues as well as market regulation generally. It gives you with an understanding of basic concepts and the underlying regulatory scheme, providing an explanation of broker-dealer regulation generally, sales practices, analysts' conflicts of interest, civil liabilities, and arbitration. This title also provides an overview of industry self-regulation under FINRA (the Financial Industry Regulatory Authority).

Book Information

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Customer Reviews

This is a very useful "nutshell" regarding broker-dealer regulation, and the Kindle price is nice, but be prepared for very sloppy proofing. The text frequently has words crammed together, without spacing, and has other typos.

This book is a must have for anyone new to the financial services sector, looking to brush up on industry knowledge or just looking for a general overview of all the moving parts.

This is a very good source of reference materials on broker-dealer regulation.

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