

Amended by SR-FINRA-2018-030 and SR-FINRA-2020-003 eff. Mar. 16, 2020.
Amended by SR-FINRA-2017-015, SR-FINRA-2017-021, SR-FINRA-2017-033 and SR-FINRA-2017-036 eff. Feb. 1, 2018.
Amended by SR-FINRA-2017-012 eff. Oct. 2, 2017.
Amended by SR-FINRA-2016-027 eff. July 10, 2017.
Amended by SR-FINRA-2016-023 eff. March 20, 2017.
Amended by SR-FINRA-2016-040 eff. Feb. 27, 2017.
Amended by SR-FINRA-2016-024 eff. Feb. 27, 2017.
Amended by SR-FINRA-2016-048 eff. Jan. 3, 2017.
Amended by SR-FINRA-2013-046 eff. June 1, 2015.
Amended by SR-FINRA-2014-043 eff. Oct. 3, 2014.
Amended by SR-FINRA-2013-029 and SR-FINRA-2013-043 eff. June 30, 2014.
Amended by SR-FINRA-2013-040 eff. Sept. 17, 2013.
Amended by SR-FINRA-2012-053 eff. June 10, 2013.
Amended by SR-FINRA-2012-020 eff. Nov. 12, 2012.
Amended by SR-FINRA-2012-049 eff. Nov. 7, 2012.
Amended by SR-FINRA-2011-056 eff. Nov. 1, 2011.
Amended by SR-FINRA-2011-012 eff. May 16, 2011.
Amended by SR-FINRA-2009-065 eff. May 16, 2011.
Amended by SR-FINRA-2011-001 eff. Jan. 4, 2011.
Amended by SR-FINRA-2007-006 eff. March 31, 2010.
Amended by SR-FINRA-2009-010 eff. March 1, 2010.
Amended by SR-FINRA-2008-021 eff. Dec. 15, 2008.
Amended by SR-NASD-2007-004 eff. May 1, 2007.
Amended and renumbered as Rule 7030 by SR-NASD-2007-018 eff. March 5, 2007.
Amended by SR-NASD-2005-063 eff. Oct. 1, 2005.
Amended by SR-NASD-2005-083 eff. June 23, 2005.
Amended by SR-NASD-2005-026 eff. June 1, 2005.
Amended by SR-NASD-2004-189 eff. Feb 7 and June 1, 2005.
Amended by SR-NASD-2004-163 eff. Oct. 29, 2004.
Amended by SR-NASD-2003-157 eff. Feb. 1, 2004.
Amended by SR-NASD-2003-097 eff. June 27, 2003.
Amended by SR-NASD-2003-025 eff. Feb. 27, 2003.
Amended by SR-NASD-2002-176 eff. Dec. 13, 2002.
Amended by SR-NASD-2002-167 eff. Oct. 1, 2002.
Adopted as Rule 7010(k) by SR-NASD-2002-063 eff. July 1, 2002.

Selected Notices: 02-81, 04-06, 05-05, 05-37 05-52, 07-15, 08-57, 09-57, 10-23, 10-55, 11-20, 12-26, 12-48, 13-09, 13-35, 14-34, 16-38, 16--39, 16-43, 17-23, 17-36.

VERSIONS

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