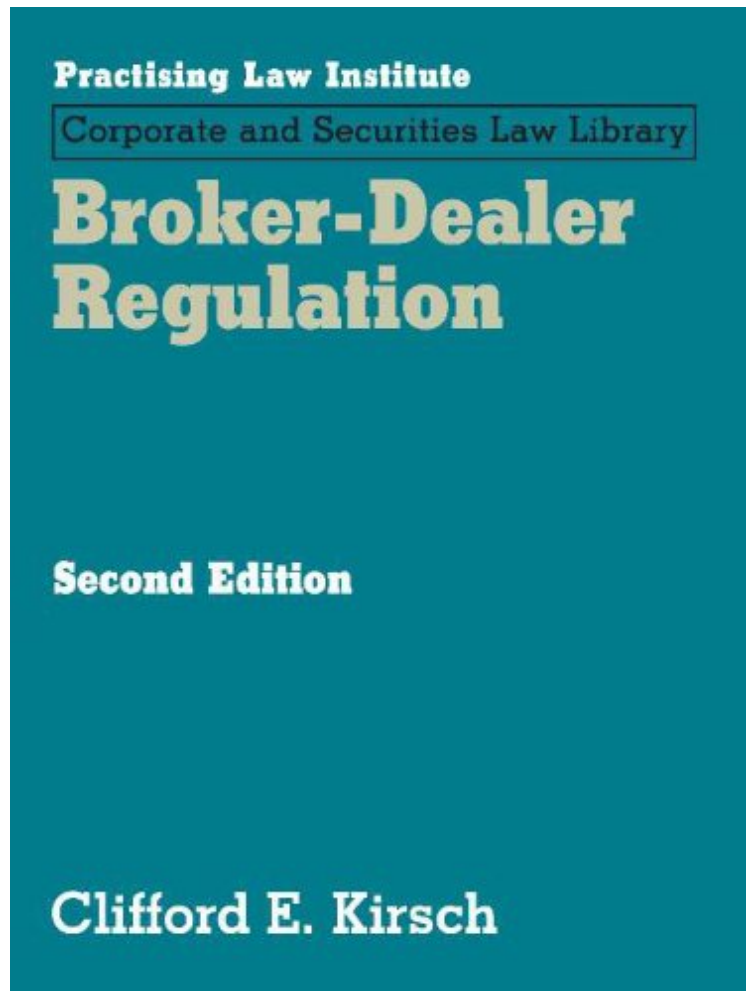


## Broker-Dealer Regulation (October 2016 Edition): 4

*Clifford E. Kirsch*

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