
Retail Nondeposit Investment Sales Laws, Regulations and Rulings

Section 413.5

	<i>Laws*</i>	<i>Regulations+</i>	<i>Rulings+</i>	<i>OCC and Other Issuances**</i>
Customer disclosure requirements	15 USC 77a, 78a, and 80a	17 CFR 240 (Rule 10b-5)		Interagency Statement on Retail Sales of Nondeposit Products (February 15, 1994)
Use of common names	15 USC 80a			Interagency Statement
Investments in trust accounts	29 USC 1001 (ERISA)	9		Interagency Statement
Recordkeeping and confirmation requirements for securities transactions		12		Interagency Statement
Antifraud restrictions	15 USC 77a and 78a	17 CFR 240 (Rule 10b-5)		
Uniform guidelines				AL 93-11 and Interagency Statement
Customer protection rules	15 USC 77a, 78a, and 80a	17 CFR 240 (Rule 10b-5)		NASD Rules of Fair Practice and Interagency Statement

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- * 12 USC, unless specifically stated otherwise.
- + 12 CFR, unless specifically stated otherwise.
- ** BC = Banking Circular, EC = Examining Circular, AL = Advisory Letter.