

Rule 17a-8 under the Securities Exchange Act of 1934:

Financial Recordkeeping and Reporting of Currency and Foreign Transactions

Every registered broker or dealer who is subject to the requirements of the Currency and Foreign Transactions Reporting Act of 1970 shall comply with the reporting, recordkeeping and record retention requirements of Part 103 of Title 31 of the Code of Federal Regulations. Where Part 103 of Title 31 of the Code of Federal Regulations and §240.17a-4 of this chapter require the same records or reports to be preserved for different periods of time, such records or reports shall be preserved for the longer period of time.

[As adopted in Release No. 34-18321, effective January 4, 1982, 46 F.R. 61454.]