

**MEMO# 3897**

June 30, 1992

## **NASD SUGGESTS ITEMS FOR INCLUSION IN WRITTEN SUPERVISORY PROCEDURES**

June 30, 1992 TO: COMPLIANCE COMMITTEE NO. 8-92 RE: NASD SUGGESTS ITEMS FOR  
INCLUSION IN WRITTEN SUPERVISORY PROCEDURES

In the June NASD Regulatory & Compliance Alert, the NASD included a list of items that members should consider in determining the adequacy of their written supervisory procedures, which are required under Article III, Section 27 of the Rules of Fair Practice. This list was developed as a result of NASD examinations. The areas identified on the list are ones on which NASD members may need to have procedures, depending upon their own business mix. Attached is the list that was included in the June Alert. Amy B.R. Lancellotta Associate Counsel Attachment

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