

MEMO# 8554

January 15, 1997

SEC EXTENDS COMMENT PERIOD FOR PROPOSED BROKER-DEALER BOOKS AND RECORDKEEPING REQUIREMENTS

1 See Memorandum to SEC Rules Committee No. 121-96, dated November 15, 1996. 2 See Memorandum to SEC Rules Committee No. 139096, dated December 31, 1996. January 15, 1997 TO: SEC RULES COMMITTEE No. 6-97 RE: SEC EXTENDS COMMENT PERIOD FOR PROPOSED BROKER-DEALER BOOKS AND RECORDKEEPING REQUIREMENTS

The Securities and Exchange Commission has extended the comment period for the proposed broker-dealer books and records requirements under the Securities Exchange Act of 1934 from December 27, 1996 to March 31, 1997.¹ As we previously reported, the Institute has filed a comment letter on these proposals.² A copy of the Commission's release is attached. Amy B.R. Lancellotta Associate Counsel Attachment (in .pdf format)

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