

MEMO# 2629

March 22, 1991

SAMPLE WRITTEN SUPERVISORY PROCEDURES

March 22, 1991 TO: COMPLIANCE COMMITTEE NO. 3-91 RE: SAMPLE WRITTEN SUPERVISORY PROCEDURES _____ As we mentioned at the last Compliance Committee meeting, we are distributing copies of sample written supervisory procedures, which are required by the NASD. The attached copies were provided by members of the Committee. References to the firm's name or names of employees have been deleted. If you have any questions concerning any of the attached documents, please contact me at 202/955-3523. Amy B.R. Lancellotta Assistant General Counsel Attachment

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