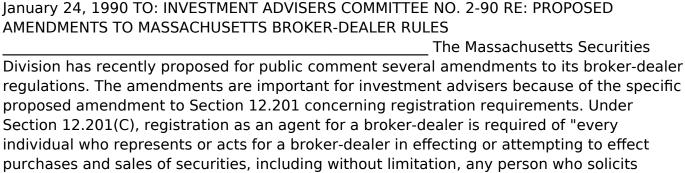
**MEMO# 1677** 

January 24, 1990

## PROPOSED AMENDMENTS TO MASSACHUSETTS BROKER-DEALER RULES [A



individual who represents or acts for a broker-dealer in effecting or attempting to effect purchases and sales of securities, including without limitation, any person who solicits transactions or new accounts on behalf of the broker-dealer, renders advice concerning the purchase and sale of securities to particular customers or executes trades for particular customers, and every individual who supervises any of the foregoing (emphasis added)." Attached is a copy of the proposed amendments. The securities division will hold a public hearing on the proposed amendments Wednesday, January 31, 1990. However, written comments may be submitted through February 10, 1990. Please contact me with any comments by February 6, 1990 if you would like them to be included in the Institute's comment letter. Robert L. Bunnen, Jr. Assistant General Counsel Attachment

## **Source URL:** https://icinew-stage.ici.org/memo-1677

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