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Broker-Dealer Controls Regarding Retail Sales Of ...Representatives' ("representatives") Determinations Of Customer Suitability In The SSPs, As Required By Their Internal Controls. II. Overview Of Broker-Dealer Obligations Regarding Sales Of SSPs . A. SSPs . SSPs Have Been Increasingly Marketed To Retail Investors, Who Have Been Interested In Generating 4th, 2024INDEPENDENT BROKER-DEALER RANKING 2019FA's 2019 INDEPENDENT BROKER-DEALER RANKING \*A Member Of Advisor Group. \*\*A Member Of 3th, 2024Uniform Application For Broker-Dealer RegistrationUse Schedule C To Update Schedules A And B. Individuals Not Required To File A Form U-4 (individual Registration) With The CRD System Who Are Listed On Schedules A, B, Or C Must Attach Page 2 Of Form U-4. The Applicant Broker-dealer Must Be Listed In Form U-4 Item 20 Or 21. Si 1th, 2024.

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