

REG BI SESSION – S BOUCHARD LINKS TO DOCUMENTS

Press Release regarding NASAA Reg BI Phase IIB Exam Report and RFPC on Amendments to the Broker-Dealer/Agent Standard of Care Model Rule: <https://www.nasaa.org/69493/nasaa-publishes-regulation-best-interest-examination-initiative-update-and-issues-proposed-revisions-to-its-broker-dealer-conduct-model-rule/?qoid=current-headlines>

NASAA Reg BI Phase IIB Exam Report: <https://www.nasaa.org/wp-content/uploads/2023/08/Reg-BI-Phase-II-B-Report-Formatted-8.29.23.pdf>

NASAA RFPC: <https://www.nasaa.org/wp-content/uploads/2023/09/Request-for-Public-Comment-on-BD-Best-Interest-Model-Rule.pdf>

NASAA Press Release regarding Reg BI Phase IIA Exam Report: <https://www.nasaa.org/60748/nasaa-report-finds-that-many-broker-dealer-firms-still-place-their-financial-interests-ahead-of-their-customers-despite-implementation-of-regulation-best-interest/?qoid=current-headlines>

NASAA Reg BI Phase IIA Report: https://www.nasaa.org/wp-content/uploads/2021/11/NASAA-Reg-BI-Phase-II-A-Report-November-2021_FINAL.pdf

NASAA Reg BI Phase I Exam Report: <https://www.nasaa.org/wp-content/uploads/2020/09/Reg-BI-Phase-1-Report.pdf>