

Cabinet News and Views

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SEC Exempts Brokers and Dealers From Rule 15c2-11 Review and Recordkeeping Requirements for Quotations on 144A Fixed Income Securities

On October 30, the Securities and Exchange Commission issued an order exempting brokers and dealers from the information review and recordkeeping requirements under Rule 15c2-11 in connection with providing quotations on 144A fixed income securities.

Further details are discussed in our recent Client and Friends Memo [here](#) authored by Mike Gambro and Maurine Bartlett.
