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**Léo Pomar**



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*Broker-Dealer Compliance* James A. Fanto, 2023-01-20 Broker Dealer Compliance is a concise yet comprehensive guide that reviews the state of broker dealer compliance both from general and practical perspectives While the book has a practical focus it also makes use of legal scholarship and behavioral and organizational literature on compliance that have grown exponentially in recent years

[SEC Docket](#) United States. Securities and Exchange Commission, 2008

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