

References

- The major securities industry self-regulatory organizations have suitability rules. You'll find FINRA's suitability rule – currently [NASD Rule 2310](#) – and links to other FINRA materials concerning suitability in the [FINRA Manual](#) on FINRA's website. Similarly, you can find the New York Stock Exchange's suitability rule – [Rule 405](#) – among the NYSE incorporated rules on the FINRA website.
- <http://www.axley.com/printable.jsp?nid=771>

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