

POLICY C-2
(01.03.93, 21.10.93, 21.08.02, 01.10.02, abr. 22.03.10)

MINIMUM STANDARDS FOR RETAIL ACCOUNTS SUPERVISION

- I. ESTABLISHING AND MAINTAINING MINIMUM INDUSTRY STANDARDS FOR ACCOUNT SUPERVISION**
(abr. 22.03.10)

- II. OPENING NEW ACCOUNTS**
(abr. 22.03.10)

- III. BRANCH OFFICE ACCOUNT SUPERVISION**
(21.10.93, abr. 22.03.10)

- IV. HEAD OFFICE ACCOUNT SUPERVISION**
(21.10.93, abr. 22.03.10)

- V. OPTION ACCOUNT SUPERVISION**
(abr. 22.03.10)

- VI. FUTURES AND OPTIONS ON FUTURES ACCOUNTS SUPERVISION**
(abr. 22.03.10)

- VII. DISCRETIONARY AND MANAGED ACCOUNT SUPERVISION**
(abr. 22.03.10)

- VIII. CLIENT COMPLAINTS**
(abr. 22.03.10)