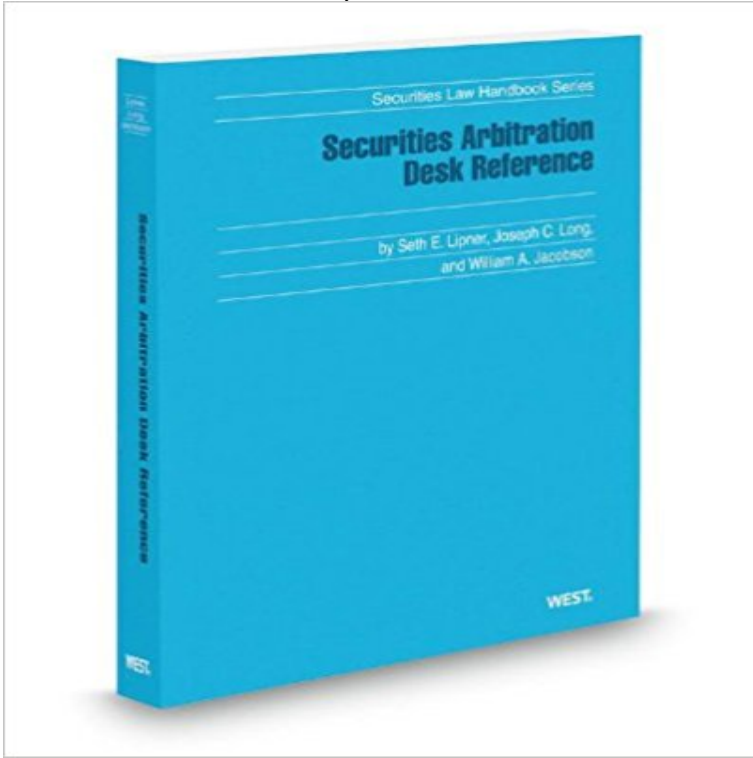


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This publication combines the statutes, rules, and regulations governing securities arbitration proceedings. Content includes the Financial Industry Regulatory Authority (FINRA) Code of Arbitration Procedure, FINRA member conduct rules for brokers, federal securities acts pertinent to securities arbitration, and the Uniform Securities Act. The text of each statute and rule is followed by expert commentary, as well as citations and references to interpretive material and case law, making this a useful resource for arbitration proceedings and as a starting point for further research. The authors are distinguished law professors who draw upon decades of experience in representing persons in securities arbitrations.

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