



Dealing with Customers

Anti-Discrimination

Citation:	CO 1 Cite	Compass #:	1001
Title:	CO 1 Title		
Short Description:	CO 1 Description		
Source/Promulgating Body:	CO 1 Source	Country/Jurisdiction:	United States
Obligation Type:	Law/Statute	Status:	In Force
Implementing Obligation:		Citation Being Implemented:	
Related Elements:	Training; Record Keeping	Date Entered:	21-Aug-2006
Comments:	CO 1 Comment		

Market Conduct

Conflicts of Interest (Company/Market)

Citation:	CO 2 Cite	Compass #:	1002
Title:	CO 2 Title		
Short Description:	CO 2 Description		
Source/Promulgating Body:	CO 2 Source	Country/Jurisdiction:	United States
Obligation Type:	Regulation	Status:	Proposed
Implementing Obligation:		Citation Being Implemented:	
Related Elements:	Training	Date Entered:	21-Aug-2006
Comments:	CO 2 Comment		
