

Massachusetts Heats up Fiduciary Rule Discussion with Cold-blooded Enforcement

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Financial services firms occasionally implement programs for their representatives to receive incentives in connection with specific product or service offerings. For as long as firms have used such programs, securities regulators have scrutinized them. The latest iteration of regulatory attention to sale incentives, however, signals a shift in strategy that carries broader implications for financial firms in Texas and throughout the country. READ MORE Published by the Texas Lawbook, February 21, 2018