

RIN Data

SEC

RIN: 3235-AL27

Publication ID: Spring 2016

Title: Personalized Investment Advice Standard of Conduct

Abstract:

Section 913 of the Dodd Frank Act grants the Commission authority under the Exchange Act and Advisers Act to adopt rules establishing a uniform fiduciary standard of conduct for broker-dealers and investment advisers when providing personalized investment advice about securities to retail customers. The Commission issued a public request for information to obtain further data and other information to assist it in determining whether or not to use the authority provided under section 913 of the Dodd Frank Act. The Division is considering recommending, jointly with the Division of Trading and Markets, that the Commission propose a new rule for a uniform fiduciary standard of conduct for broker-dealers and investment advisers when providing personalized investment advice about securities to retail customers.

Agency: Securities and Exchange Commission(SEC)

RIN Status: Previously published in the Unified Agenda

Major: Undetermined

CFR Citation: [17 CFR 275.211\(g\)-1 \(new\)](#)

Legal Authority: [15 U.S.C. 80b-211\(g\)](#)

Legal Deadline: None

Timetable:

Action	Date	FR Cite
ANPRM	03/07/2013	78 FR 14848
ANPRM Comment Period End	07/05/2013	
NPRM	04/00/2017	

Regulatory Flexibility Analysis Required: Undetermined

Federalism: Undetermined

Included in the Regulatory Plan: No

RIN Information URL: www.sec.gov/rules/other/2013/34-69013.pdf

RIN Data Printed in the FR: No

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Priority: Substantive, Nonsignificant

Agenda Stage of Rulemaking: Proposed Rule Stage

Unfunded Mandates: No

Government Levels Affected: None