

WAC 460-21C-005 Application. (1) The rules in this chapter apply exclusively to broker-dealer services conducted by broker-dealers on the premises of a financial institution where retail deposits are taken.

(2) These rules do not alter or abrogate a broker-dealer's obligations to comply with other applicable laws, rules, or regulations that may govern the operations of broker-dealers and their agents, including, but not limited to, supervisory obligations.

(3) These rules do not apply to broker-dealer services provided to nonretail customers.

[Statutory Authority: RCW 21.20.100, 21.20.450. WSR 00-05-055, § 460-21C-005, filed 2/14/00, effective 3/16/00.]