

WAC 460-21B-050 Books and records of broker-dealers. (1) Each registered broker-dealer shall make, maintain, and preserve books and records in compliance with United States Securities and Exchange Commission Rules 17a-3 (17 C.F.R. §240.17a-3 (1991)), 17a-4 (17 C.F.R. §240.17a-4 (1991)), 15c2-6 (17 C.F.R. §240.15c2-6 (1991)) and 15c2-11 (17 C.F.R. §240.15c2-11 (1991)) as amended in Release No. 34-29094, 56 Fed. Reg. 19148 (1991)) which are hereby incorporated by reference. To the extent that the United States Securities and Exchange Commission promulgates changes to the above-referenced rules, dealers in compliance with such rules as amended shall not be subject to enforcement action by the commission for violation of this rule to the extent that the violation results solely from the dealer's compliance with the amended rule.

(2) The administrator may, by order, upon written request and for good cause shown, waive any of the requirements of this rule.

[Statutory Authority: RCW 21.20.100 and 21.20.450. WSR 97-03-122, § 460-21B-050, filed 1/22/97, effective 2/22/97. Statutory Authority: RCW 21.20.070 and 21.20.450. WSR 95-16-026, § 460-21B-050, filed 7/21/95, effective 8/21/95.]