

ATTACHMENT A

Below is the text of the proposed rule change. Proposed new language is underlined.

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Capital Acquisition Broker Rules

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200. DUTIES AND CONFLICTS

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203. Engaging in Distribution and Solicitation Activities with Government Entities

All capital acquisition brokers are subject to FINRA Rule 2030.

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400. FINANCIAL AND OPERATIONAL RULES

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458. Books and Records Requirements for Government Distribution and Solicitation Activities

All capital acquisition brokers are subject to FINRA Rule 4580.

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