



SECURITIES INVESTOR PROTECTION CORPORATION

**Rules Relating to
Accounts Introduced by
Other Brokers or Dealers**

17 C.F.R. §§300.200-300.201
Adopted October 1978

**SECURITIES INVESTOR
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**SECURITIES INVESTOR
PROTECTION CORPORATION**

Series 200 Rules

Rules Relating to Accounts Introduced by Other Brokers or Dealers

Rule 200—General

A person having one or more accounts cleared by the member on a fully disclosed basis for one or more introducing brokers or dealers is a customer of the member and shall be protected with respect to such account or accounts without regard to the protection available for any other account or accounts he may have with the member.

Rule 201—Accounts Introduced by Same or Different Broker or Dealer

All accounts of a person which are introduced by the same broker or dealer shall be combined and protected as the single account of a separate customer, unless such accounts are maintained in different capacities as specified in the Series 100 Rules; accounts introduced by different brokers or dealers shall be protected separately.