

Regulation of Non-U.S. Broker-Dealers Doing Business in the United States

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From time to time, our clients and friends that are non-U.S. securities dealers have inquired about the U.S. regulatory issues associated with providing trade execution, research and investment banking services directly to individual and institutional investors in the United States. This alert discusses the U.S. registration requirements and compliance issues applicable to non-U.S. securities dealers considering doing business in the United States.

[Read the full alert.](#)