

Publications

# Broker-Dealers as Fiduciaries After the DOL Rule Vacatur

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In the October 2018 issue of *The Investment Lawyer: Covering Legal and Regulatory Issues of Asset Management* principal David Kaleda authored an article titled, “Broker-Dealers as Fiduciaries After the DOL Rule Vacatur,” where he explained the obligations of broker-dealers when providing recommendations to accounts subject to ERISA, e.g., employee benefit plans, and/or the Internal Revenue Code, e.g., IRAs, after the vacatur of DOL’s fiduciary rule.

To view the article, please click the link below.

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