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2010. Standards of Commercial Honor and Principles of Trade

A member, in the conduct of its business, shall observe high standards of commercial honor and just and equitable principles of trade.

Cross References—

[1122](#), *Filing of Misleading Information as to Membership or Registration*

[IM-1000-3](#), *Failure to Register Personnel*

[2111](#), *Suitability*

[IM-2440-1](#), *Mark-Up Policy*

[2342](#), *"Breakpoint" Sales*

[5130](#), *Restrictions on the Purchase and Sale of Initial Equity Public Offerings*

[5210](#), *Publication of Transactions and Quotations*

[5220](#), *Offers at stated Prices*

[5270](#), *Front Running of Block Transactions*

[5320](#), *Prohibition Against Trading Ahead of Customer Orders*

[IM-10100](#), *Failure to Act Under Provisions of Code of Arbitration Procedure*

[IM-11110](#), *Refusal to Abide by Rulings of the Committee*

Amended by SR-FINRA-2008-028 eff. Dec. 15, 2008.

Amended by SR-NASD-2005-087 eff. Aug. 1, 2006

Selected Notices: [96-44](#), [08-57](#).