Subpart C—Reports Required To Be Made By Brokers or Dealers in Securities

§ 1023.300 General.

Brokers or dealers in securities are subject to the reporting requirements set forth and cross referenced in this subpart. Brokers or dealers in securities should also refer to subpart C of part 1010 of this chapter for reporting requirements contained in that subpart which apply to brokers or dealers in securities.

§ 1023.310 Reports of transactions in currency.

The reports of transactions in currency requirements for brokers or dealers in securities are located in subpart C of part 1010 of this chapter and this subpart.

§ 1023.311 Filing obligations.

Refer to §1010.311 of this chapter for reports of transactions in currency filing obligations for brokers or dealers in securities.

§ 1023.312 Identification required.

Refer to §1010.312 of this chapter for identification requirements for reports of transactions in currency filed by brokers or dealers in securities.

§ 1023.313 Aggregation.

Refer to §1010.313 of this chapter for reports of transactions in currency aggregation requirements for brokers or dealers in securities.

§ 1023.314 Structured transactions.

Refer to §1010.314 of this chapter for rules regarding structured transactions for brokers or dealers in securities.

§ 1023.315 Exemptions.

Refer to §1010.315 of this chapter for exemptions from the obligation to file reports of transactions in currency for brokers or dealers in securities.

§ 1023.320 Reports by brokers or dealers in securities of suspicious transactions.

(a) General. (1) Every broker or dealer in securities within the United States (for purposes of this section, a “broker-