**Section 130.850 Account Transactions**

a) No dealer or salesperson shall effect transactions for any customer's account which are excessive in size or frequency or unsuitable in view of the financial resources of the customer.

b) No dealer shall effect any transaction of purchase or sales unless immediately after effecting the transaction the dealer makes a record of the transaction which record includes the name of the customer, the name, amount and price of the securities, and the date and time when the transaction took place.

c) Each dealer shall keep or preserve, for at least 3 years, records as the dealer may be required to make pursuant to the provisions of paragraph (b) of this section.