

**South Carolina Code of Regulations 13-501. Dishonest or Unethical Practices by
Broker-Dealers and Agents**

prospectus and an additional document, which together include all information set forth in the final prospectus.

(11) Charging unreasonable and inequitable fees for services performed, including miscellaneous services such as collection of monies due for principal, dividends or interest, exchange or transfer of securities, appraisal, safekeeping, or custody of

