Davis Polk

FINRA Proposes Changes to Personnel Registration Requirements

January 22, 2010 | Client Update

On December 3, 2009, the Financial Industry Regulatory Authority ("FINRA") proposed for public comment new rules (the "Proposed Rules") that would govern registration and qualification requirements for persons associated with FINRA member firms. The Proposed Rules will not become effective until filed with and approved by the SEC, following a second comment period.

If you have any questions regarding the matters covered in this publication, please reach out to any of the lawyers listed below or your usual Davis Polk contact.

Annette L. Nazareth
+1 202 962 7075
annette.nazareth@davispolk.com

Related materials

012210_finra.pdf