

FINRA 2010 Field Examinations

Legal Alert
April 14, 2010

Garvey Schubert Barer Legal Update, April 14, 2010.

In keeping with our practice of providing information on FINRA-announced priorities for its annual cycles of field examinations of member firms, the following summary of FINRA's March 1, 2010 release (the "Release") describes the concerns and areas of concentration which FINRA intends to incorporate in this year's field examinations. Not surprisingly, a number of the concerns appear to be prompted by recent financial services industry scandals such as the Bernard Madoff and Allen Stanford frauds, while the increased number of topics seems intended to demonstrate a more rigorous regulatory oversight of the financial services industry.

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