

IN THE NEWS SEPTEMBER 2023



How the SEC Picks Advisors to Examine

Could your firm be a target of an SEC exam in the future? The SEC released a new risk alert detailing what factors could potentially put a firm in jeopardy.

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SEC Hits 9 More Firms with SEC Rule Violation

The SEC accused nine firms of marketing rule violations. The companies will pay a combined \$850,000 for allegedly using hypothetical metrics in advising without following the requirements of the rule.

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FINRA Hits Another BD With Reg BI-Related Fine

FINRA has fined and censured another Broker-Dealer as well as its CCO over Regulation Best Interest Violations.

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Tennessee joins list of States adopting IAR CE in 2024

Tennessee is the latest state to adopt NASAA's IAR CE model regulation that will take effect on January 1, 2024.

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Pursuant to Rule 1240 each RR is required to complete the Regulatory Element by December 31, 2023

If you haven't done so already please log into your FinPro account to check CE status.

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