

FW: FINRA Weekly Update - 7/17/24

From: FINRA Corporate Notification <finracorporatenotification@finra.org>

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To: Diana Capes <dcapes@sil.org>

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FINRA Weekly Update



Guidance



New Membership Application Program (MAP) Tools

FINRA published three new tools to help firms that are in the process of filing a new or continuing membership application: [MAP frequently asked questions](#), a [checklist](#) to help applicants prepare and submit information and documentation for FINRA Form New Member Application (NMA), and [guidance and a checklist](#) to help firms document evidence of their ownership structures and identify instances when an attestation may be used to establish an applicant's due diligence for direct and indirect owners.



Disciplinary Actions



ICYMI: FINRA Unscripted Podcast

[Listen to the latest episode](#) for an update on FINRA's Financial Intelligence Unit, including how they are evolving the way they share information with member firms, other regulators and law enforcement.



Upcoming Deadlines and Effective Dates



Education and Compliance Programs



Guidance

New

- **Information Notice:** FINRA reminds registered individuals and firms of the continuing education (CE) requirements, including the Dec. 31 deadline for CE Regulatory Element training assignments and completion, resources for facilitating compliance with the annual

Regulatory Element requirements, and resources to help create CE Firm Element written training plans and locate relevant course content.



Disciplinary Actions

FINRA publishes [disciplinary actions](#) to remind registered representatives and firms of specific conduct that violates FINRA rules and may result in disciplinary action. The July 2024 Monthly Disciplinary Actions are available [here](#).



Upcoming Deadlines and Effective Dates

The U.S. Treasury Department's Office of Financial Research (OFR) has adopted a final rule establishing a data collection for certain non-centrally cleared bilateral transactions in the U.S. repurchase agreement market. This collection requires daily reporting to that office by certain brokers, dealers and other financial companies with large exposures to non-centrally cleared bilateral repo. The OFR encourages Category 1 Covered Reporters, focused on brokers and dealers, to begin testing as early as possible and no later than 90 days before the Dec. 2 compliance date. [Visit the OFR's website](#) for more information.



Education and Compliance Programs

Register for upcoming events:

- [Registration Systems Foundation Training](#) | [Virtual Training](#) July 24-25 and September 25-26 | [In-Person Training](#) Oct. 15 (Washington, DC)
- [2024 FINRA Advertising Regulation Conference](#) | Sept. 26-27 | Washington, DC | Hybrid Event
- [2024 FINRA Small Firm Conference](#) | Oct. 9-10 | Chicago | Hybrid Event
- [Disclosure Reporting Boot Camp](#) | Oct. 16-17 | Washington, DC | In-Person Training
- [FINRA Institute at Georgetown Certified Regulatory and Compliance Professional Program](#) | Washington, DC
 - [Week II: Capstone](#) | Nov. 17-22 | In-Person Event
 - [Week I: Foundation](#) | July 13-18, 2025 | In-Person Event

Regulatory Contacts

FINRA By-Laws require member firms to maintain an Internet email account on behalf of their executive representatives. This facilitates firm notification of important publications and information added to the FINRA website.

Firms wishing to change the name or email address of their executive representative or designated assistant should do so through the FINRA Contact System (FCS). See <http://www.finra.org/FCS> for further information. Requests from executive representatives to be removed from this email notification list cannot be honored.

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