

FINRA 2013 Examination Priorities

On January 11, 2013, FINRA released its 2013 examination priorities letter. The letter identifies four primary categories as the focus of FINRA's upcoming examinations and enforcement efforts – Business Conduct and Sales Practice Priorities, Insider Trading, Financial and Operational Priorities, and Market Regulation Priorities. Within each category, FINRA identifies the broad concerns, products and investment types that will be subject to closer regulatory scrutiny.

For additional review and analysis of the letter, please see our [related client memo, found here](#).