

FINRA Revises Sanction Guidelines

On May 12, 2015 FINRA announced revisions to the Sanction Guidelines. The revisions focus on misrepresentations and suitability. Adjudicators are being urged to consider bars in instances of intentional or reckless fraud and expelling firms where aggravating factors are predominant. Please [click here](#) for a link to Regulatory Notice 15-15.