

FINRA®

FINRA Perspectives

PCAOB Forum

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AGENDA

- 01 | Hot Topics
- 02 | Recent Regulatory Guidance
- 03 | Risk Monitoring & Examination Observations
- 04 | FINRA FAQs and Key Topic Pages



Disclaimer

This presentation expresses the views of the presenters and does not necessarily reflect the views of any organization, securities regulator, its management, or other members of its staff. The views expressed by FINRA representatives are their own.

Hot Topics

- SAB 121: Net Capital Implications
- SEC Daily 15c3-3 Computation Proposal
- SEC Electronic Filing Proposal
- Revenue Recognition: Net Capital Implications



Recent Regulatory Guidance

- [Regulatory Notice 23-02 – Rule 2231 Customer Statement Amendments](#)
- [Regulatory Notice 23-04 – FINRA Issues Guidance in Connection With Failures of Silicon Valley Bank and Signature Bank \(15c3-1, 15c3-3\)](#)
- [Regulatory Notice 23-06 – FINRA Shares Effective Practices to Address Risks of Fraudulent Transfers of Accounts Through ACATS](#)
- [Regulatory Notice 23-11 – FINRA Seeks Comment on Concept Proposal for a Liquidity Risk Management Rule](#)
- [Regulatory Notice 23-14 – Amendments to Covered Agency Transaction Requirements under FINRA Rule 4210; Effective Date May 22, 2024](#)
- [Regulatory Notice 23-15 – Regulation T and Rule 15c3-3 Extension of Time Requests Under a T+1 Settlement Cycle](#)

Recent Regulatory Guidance: Exemption Reporting

- FAQs Concerning the July 30, 2013 Amendments to the Broker-Dealer Financial Reporting Rule
 - Exemption Reporting
- FAQs Concerning the Amendments to Certain Broker-Dealer Financial Responsibility Rules
 - Reserve Formula Computation and Possession or Control: FAQ 18
- FAQs about Exemption Reporting Under SEA Rule 15c3-3(k) for Purposes of FOCUS Reporting and Updating of Membership Agreements
 - FAQs 1, 2, and 3
- Multiple Business Activities
- Non-Covered Firms/Footnote 74
- (k)(1) Exemptive Provision
- (k)(2)(i) Exemptive Provision

Risk Monitoring and Examination Observations

- [2023 Report on FINRA's Examination and Risk Monitoring Program](#)
- Other FINRA Risk Monitoring & Examination Observations



FINRA FAQs and Key Topic Pages

- [FINRA FAQs](#)
- [FINRA Key Topics](#)
 - [Annual Reports](#)
 - [Books and Records](#)
 - [Business Continuity Planning](#)
 - [Cybersecurity](#)
 - [FINRA Examination and Risk Monitoring Programs](#)
 - [FinTech](#)
 - [Funding and Liquidity](#)



