

FINRA Requests Comment on Proposed Amendments to Rules Governing Communications With the Public

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The ***Financial Industry Regulatory Authority*** issued Regulatory Notice 15-16 to solicit comments on proposed amendments to FINRA Rules governing communications with the public. FINRA is proposing to amend FINRA Rule 2210 so that a firm that is in its first year of FINRA membership would only have to file the contents of its website and any material changes thereto 10 business days prior to first use, rather than filing all of its retail communications with the public. Additionally, FINRA is proposing to eliminate the requirement that firms file their investment analysis tool templates. FINRA also is proposing to amend Rule 2213 so that retail communications relating to bond mutual funds that include ratings provided by independent third parties and other communications would no longer need to be accompanied or preceded by the fund's prospectus or contain specific disclosures. Finally, FINRA is proposing to permit firms to file these communications within 10 business days of first use, rather than prior to first use.

The comment period expires on July 2.

Click [here](#) for Regulatory Notice 15-16.

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