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FINRA Board of Governors Authorizes Rule Proposals at September Meeting

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Last week, the Financial Industry Regulatory Authority Board of Governors (Board) had its September meeting. Among other things, the Board approved the publication of two rule proposals.

In particular, the Board authorized the publication of a proposed rule that would allow firms to use technology to conduct remote inspections of certain qualifying offices that have a limited number of associated persons and where only low-risk activities occur. Additionally, the Board agreed to publish a proposed rule that would provide investors with enhanced disclosures through BrokerCheck, such as additional information about individuals and firms with both broker-dealer and investment adviser registrations, and that would allow firms to include in BrokerCheck a comment about arbitration awards pertaining to the firm. The Regulatory Notices requesting comment on these proposals have not yet been published.

A full summary of the Board's September meeting is available [here](#).

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