



About FINRA

FINRA is dedicated to investor protection and market integrity through effective and efficient regulation of broker-dealers.

FINRA is not part of the government. We're a not-for-profit organization authorized by Congress to protect America's investors by making sure the broker-dealer industry operates fairly and honestly.

We do this by:

- > writing and enforcing rules governing the activities of 3,800 broker-dealers with 633,800 brokers;
- > examining firms for compliance with those rules;
- > fostering market transparency; and
- > educating investors.

Our regulation plays a critical role in America's financial system—by enforcing high ethical standards, bringing the necessary resources and expertise to regulation and enhancing investor safeguards and market integrity—all at no cost to taxpayers.

Every investor in America relies on one thing: fair financial markets. That's why FINRA works every day to ensure that:

- > every investor receives the **basic protections** they deserve;
- > anyone who sells a securities product has been **tested, qualified and licensed**;
- > every securities product advertisement used is **truthful**, and not misleading;
- > any securities product sold to an investor is **suitable** for that investor's needs; and
- > investors receive **complete disclosure** about the investment product before purchase.

In 2016, through our aggressive vigilance, we brought 1,434 [disciplinary actions](#) against registered brokers and firms. We levied \$176.3 million in fines. And we ordered \$27.9 million in restitution to harmed investors. We also referred more than 785 [fraud and insider trading](#) cases to the SEC and other agencies for litigation and/or prosecution.

FINRA's [technology](#) is vital to protecting investors—and has become a key component of our ability to:

- > effectively oversee brokerage firms;
- > accurately monitor the U.S. equities markets;

- > quickly detect potential fraud; and
- > keep investors informed through tools like [BrokerCheck](#).

Learn more about [what we do](#) to protect investors and ensure market integrity.

[Sitemap](#) | [Privacy](#) | [Legal](#)

©2017 FINRA.