



## Financial Industry Regulatory Authority

[About FINRA](#)[FINRA Leadership](#)[Annual Reports & Financials](#)[Careers at FINRA](#)[Office of the Ombudsman](#)[FINRA Holiday Schedule](#)[FINRA Member Firms](#)[Contact FINRA](#)[About FINRA](#)

### FINRA Leadership

FINRA is the leading non-governmental regulator for all securities firms doing business with the U.S. public—nearly 4,620 firms employing nearly 636,340 registered representatives. Our chief role is to protect investors by maintaining the fairness of the U.S. capital markets. We carry it out by writing and enforcing rules, examining firms for compliance with the rules, informing and educating investors, helping firms pre-empt risk and stay in compliance, and providing trade reporting and other industry utilities.

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- [Board of Governors](#)
- [Committees](#)
- [Former Chairmen](#)

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