

What You Should Know About FINRA's Exam Priorities for 2019

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The Financial Industry Regulatory Authority ("FINRA") recently published its Risk Monitoring and Examination Priorities Letter (the "Letter") for 2019 and signaled its intent to expand the scope of its priorities and exam program. Unlike previous years, FINRA's 2019 Letter took a "somewhat new approach" by identifying materially new areas of emphasis.[1] Admittedly, FINRA will continue...