


Risky Business: How Departing Brokers Can Unintentionally Trip Reg. BI

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As everyone in the securities industry appreciates, a registered representative's departure from one broker-dealer firm to join another is a not uncommon event. Such departures, even when voluntary and made on good terms, can and often raise a host of issues. Just last year for instance, FINRA issued Regulatory Notice 19-10 (April 5, 2019), which...