



**CCOutreach BD National Seminar
February 8, 2011**

Resources

Dodd-Frank Legislation

News Releases

- Implementing the Dodd-Frank Wall Street and Consumer Protection Act
<http://www.sec.gov/spotlight/dodd-frank.shtml>
- Study on Investment Advisers and Broker-Dealers
<http://www.sec.gov/news/studies/2011/913studyfinal.pdf>

Anti-Money Laundering Compliance

Rules

- FINRA Rule 3310. Anti-Money Laundering Compliance Program
http://finra.complinet.com/en/display/display.html?rbid=2403&element_id=8656
- “Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001. (USA PATRIOT Act of 2001),”
Pub. L. No. 107-56, 115 Stat. 272 (2001).

Title III of the Act, the International Money Laundering Abatement and Anti-Terrorist Financing Act of 2001, contains anti-money laundering provisions applicable to financial institutions, including broker/dealers.

<http://www.fincen.gov/hr3162.pdf>

- Bank Secrecy Act Regulations
http://www.fincen.gov/statutes_regs/bsa/
- MSRB Final Rule G-41
<http://www.msrb.org/msrb1/archive/G-41approval.htm>
- FinCEN Final Rule on Confidentiality of Suspicious Activity Reports
<http://edocket.access.gpo.gov/2010/pdf/2010-29869.pdf>

Notices

- FINRA *Regulatory Notice 09-60*, SEC Approval and Effective Dates for New Consolidated FINRA Rules; Effective Date (all rules except FINRA Rule 3310): December 14, 2009; Effective Date (FINRA Rule 3310): January 1, 2010 (October 2009)
www.finra.org/Industry/Regulation/Notices/2009/P120230

- NASD *Notice to Members 07-17*, NASD and NYSE Joint Release Regarding Special Measures against Specified Banks Pursuant to Section 311 of the USA PATRIOT Act (April 2007)
www.finra.org/web/groups/rules_regs/documents/notice_to_members/p018973.pdf

Other Resources

- Guidance on Obtaining and Maintaining Beneficial Ownership Information
<http://www.sec.gov/rules/other/2010/34-61651-guidance.pdf>
- SIFMA CIP No-Action Letter dated January 11, 2011
<http://www.sec.gov/divisions/marketreg/mr-noaction/2011/sifma011111.pdf>
- FINRA Anti-Money Laundering Web Page
www.finra.org/aml
- Anti-Money Laundering Template for Small Firms
www.finra.org/Industry/Issues/AML/p006340
- Financial Action Task Force (FATF) Guidance on Money Laundering and Terrorist Financing in the Securities Sector (October 30, 2009)
www.fatf-gafi.org/document/29/0,3343,en_32250379_32237202_43939933_1_1_1_1,00.html
- FATF Guidance on the Risk-Based Approach to Combating Money Laundering and Terrorist Financing
www.fatf-gafi.org/dataoecd/43/46/38960576.pdf
- SAR Activity Review – Trends, Tips and Issues, Issue 18 (October 2010)
Twice a year, FinCEN publishes a review of tips, trends and patterns in SAR reporting.
http://www.fincen.gov/news_room/rp/files/sar_tti_18.pdf
- SAR Activity Review – By the Numbers, Issue 1 (October 2003) – Issue 15 (January 2011)

The SAR Activity Review by the Numbers offers important statistical information on SARs filed by various financial institutions by geographic location, by type of activity and other categories.

www.fincen.gov/news_room/rp/sar_by_number.html

- Federal Financial Institutions Examination Council (FFIEC), Bank Secrecy Act Anti-Money Laundering Examination Manual
www.ffiec.gov/bsa_aml_infobase/pages_manual/manual_online.htm

Relevant Actions

- SEC Charges Pinnacle Capital Markets for Deficient Customer Identification Program Procedures
<http://www.sec.gov/news/press/2010/2010-161.htm>

Examination Priorities and Process

Communications to Firms

- FINRA Annual Regulatory and Examination Priorities Letter
www.finra.org/exampriorities
- OCIE Head Outline National Exam Program
<http://www.complinet.com/global/news/news/article.html?ref=139681>

Education

- What to Expect Webcast: Preparing for a FINRA Cycle Examination
www.finra.org/webcasts/whattoexpect/cycleexam

Compliance Tools

- FINRA Compliance Resources
www.finra.org/compliancetools
- SEC Compliance Resources
<http://www.sec.gov/divisions/marketreg/mrbdealers.shtml>

Relevant Actions

- SEC Charges Merrill Lynch for Misusing Customer Order Information and Charging Undisclosed Trading Fees
<http://www.sec.gov/news/press/2011/2011-22.htm>

Other Resources

- FINRA's Firm Gateway Web Page
www.finra.org/firmgateway
- FINRA Issue Center
www.finra.org/Industry/Issues
- FINRA's Web Information Request (Web IR) Web Page
www.finra.org/WebIR

Electronic Communications

Notices

- FINRA Regulatory Notice 10-06, Guidance on Blogs and Social Networking Web Sites (January 2010)
www.finra.org/Industry/Regulation/Notices/2010/P120760

- FINRA *Regulatory Notice 09-55*, FINRA Requests Comments on Proposed New Rules Governing Communications with the Public (September 2009)
www.finra.org/Industry/Regulation/Notices/2009/P120004
- FINRA *Regulatory Notice 07-59*, Supervision of Electronic Communications; FINRA Provides Guidance Regarding the Review and Supervision of Electronic Communications (December 2007)
www.finra.org/Industry/Regulation/Notices/2007/P037554
- NASD *Notice to Members 03-33*, Instant Messaging; Clarification for Members Regarding Supervisory Obligations and Recordkeeping Requirements for Instant Messaging (July 2003)
www.finra.org/Industry/Regulation/Notices/2003/P003248
- NASD *Notice to Members 01-23*, Suitability Rule and Online Communications (April 2001)
www.finra.org/Industry/Regulation/Notices/2001/P003886

Rules

- NASD Rule 2210. Communications with the Public
http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=10467&element_id=3617&highlight=2210#r10467
- NASD Rule 2711. Research Analysts and Research Reports
http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4352&element_id=3675&highlight=2711%28b%29%283%29%28A%29#r4352
- NYSE Rule 472. Communications with the Public
http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=6575
- FINRA Rule 2310. Direct Participation Programs
http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=11706&element_id=8469&highlight=2310#r11706
- NASD Rule 3010. Supervision
http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4395&element_id=3717&highlight=3010#r4395
- NASD Rule 3070. Reporting Requirements
http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4408&element_id=3730&highlight=3070#r4408
- NYSE Rule 351. Reporting Requirements
http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=6523

- NASD Rule 3110. Books and Records
http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=3734
- NYSE Rule 410. Records of Order
http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=6546

FINRA Webinars

- Compliance Considerations for Social Networking Sites (February 3, 2010)
www.finra.org/Industry/Education/OnlineLearning/Webinars/P119385
- Implementing Compliance Practices for Social Media (March 17, 2010)
www.finra.org/Industry/Education/OnlineLearning/Webinars/P120758
- Electronic Communications and Recordkeeping Compliance Webinar (October 20, 2010)
<http://www.finra.org/Industry/Education/OnlineLearning/Webinars/P121940C:\Documents and Settings\croushok\Local Settings\Temporary Internet Files\Content.Outlook\SAGRR6QW\www.finra.org\Industry\Education\OnlineLearning\Webinars\P121940>

FINRA Podcasts

- February 19, 2008, *Electronic Communications: Introduction to Supervision*
- March 17, 2008, *Electronic Communications: What and Who*
- April 8, 2008, *Electronic Communications: Reviewing Correspondence*
- February 9, 2009, *Electronic Communications: Web Sites*
- February 23, 2009, *Electronic Communications: Blogs, Bulletin Boards and Chat Rooms*
- March 10, 2009, *Electronic Communications: Social Networking Sites*
- February 8, 2010, *Social Networking*
www.finra.org/Industry/Education/OnlineLearning/Podcasts/index.htm

Other Resources

- Guide to the Internet for Registered Representatives
www.finra.org/Industry/Issues/Advertising/p006118