

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-105318; File No. SR-FINRA-2026-008]

### **Self-Regulatory Organizations; Financial Industry Regulatory Authority, Inc.; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change to Amend FINRA Rule 8210 (Provision of Information and Testimony and Inspection and Copying of Books)**

April 27, 2026.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)<sup>1</sup> and Rule 19b-4 thereunder,<sup>2</sup> notice is hereby given that on April 20, 2026, the Financial Industry Regulatory Authority, Inc. (“FINRA”) filed with the Securities and Exchange Commission (“SEC” or “Commission”) the proposed rule change as described in Items I, II, and III below, which Items have been prepared by FINRA. FINRA has designated the proposed rule change as constituting a “non-controversial” rule change under paragraph (f)(6) of Rule 19b-4 under the Act,<sup>3</sup> which renders the proposal effective upon receipt of this filing by the Commission. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

#### **I. Self-Regulatory Organization’s Statement of the Terms of Substance of the Proposed Rule Change**

FINRA is proposing to amend FINRA Rule 8210(d) to specify that FINRA will deliver electronically its requests for information and testimony to member firms through FINRA Gateway.

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<sup>1</sup> 15 U.S.C. 78s(b)(1).

<sup>2</sup> 17 CFR 240.19b-4.

<sup>3</sup> 17 CFR 240.19b-4(f)(6).

The text of the proposed rule change is available on FINRA's website at <http://www.finra.org> and at the principal office of FINRA.

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, FINRA included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. FINRA has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

FINRA Rule 8210 (Provision of Information and Testimony and Inspection and Copying of Books) requires a member, person associated with a member, or other person over whom FINRA has jurisdiction to produce documents, provide testimony, or supply written responses or electronic data in connection with an investigation, complaint, examination or adjudicatory proceeding.<sup>4</sup> Rule 8210 is used by several departments, particularly those with examination, risk monitoring, and enforcement responsibilities. Rule 8210(d) outlines FINRA's obligations when providing notice to member firms and currently and formerly associated persons (including registered persons) from which it is requesting information or testimony under the rule.

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<sup>4</sup> Rule 8210 applies to all members, associated persons, and other persons over which FINRA has jurisdiction, including former associated persons subject to FINRA's jurisdiction as described in the FINRA By-Laws. See FINRA By-Laws, Article V, Section 4(a) (Retention of Jurisdiction).

The proposed rule change amends Rule 8210(d) to modernize and streamline the delivery of information and testimony requests to member firms by specifying that FINRA will deliver electronically its requests through FINRA Gateway.<sup>5</sup> Electronic delivery through FINRA Gateway aligns with modern communication practices and leverages a platform that all member firms already use for registration and other compliance functions. The proposed rule change maintains the existing principle that notice is deemed received when transmitted but modernizes the transmission method from mail to electronic delivery.

The proposed rule change reflects both technological advances and operational experiences FINRA has gained since Rule 8210(d) was last amended in 2012.<sup>6</sup> Since that time, the broker-dealer industry has undergone significant technological changes. Member firms have substantially transitioned away from paper-based operations, a shift accelerated by virtual work environments during the COVID-19 pandemic. Concurrently, FINRA has made substantial investments in secure electronic systems, including FINRA Gateway. Access to FINRA

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<sup>5</sup> FINRA Gateway is an electronic compliance portal designed to streamline the compliance and reporting experience for member firms and provide consolidated access to, among other things, uniform registration forms, such as Form BR and Form U4. See FINRA Gateway, <https://www.finra.org/filing-reporting/finra-gateway>. Member firms use FINRA Gateway to file registration forms and amendments in the Central Registration Depository (CRD) system, the central licensing and registration system used by the U.S. securities industry and its regulators. In general, the CRD system includes information reported on the uniform registration forms that member firms and regulatory authorities complete and maintain as part of the securities industry registration and licensing process. FINRA, state, and other regulatory authorities use the information in the CRD system in connection with their licensing and regulatory activities. FINRA Gateway also has other functionalities, including a request and filings section that facilitates the electronic exchange of information between firms and FINRA, including viewing and responding to requests sent pursuant to FINRA Rule 8210.

<sup>6</sup> See Securities Exchange Act Release No. 68386 (December 7, 2012), 77 FR 74253 (December 13, 2012) (Order Approving File No. SR-FINRA-2009-060).

Gateway is effectively required for registration by both FINRA member broker-dealers and non-FINRA member broker-dealers, as all firms must access CRD through FINRA Gateway to file and amend certain registration forms.<sup>7</sup> Additionally, member firms use FINRA Gateway to update contact information as required by FINRA Rule 4517(c). Given FINRA Gateway's widespread adoption among member firms, it is a natural and appropriate choice for delivery of 8210 requests.

With the industry shift toward electronic delivery and based on member firms' preferences, FINRA staff already sends 8210 requests to member firms through FINRA Gateway. However, FINRA staff must also mail the same 8210 request to comply with the current rule. This approach creates administrative inefficiencies for both FINRA staff and member firms.

Member firms interface with 8210 requests through the Requests and Filings section of FINRA Gateway, which provides secure document transmission with tracking features. Member firms can also submit responses to requests via FINRA Gateway. In addition, counsel known to be representing a member firm or associated person in a particular matter can access 8210 requests through FINRA Gateway.<sup>8</sup> Outside counsel receive an email notifying them that there is correspondence in FINRA Gateway.

The proposed rule change would therefore amend the first paragraph of Rule 8210(d) by removing reference to the member firm's last known business address for mailing purposes and replacing it with FINRA Gateway. In the second paragraph, reference to the member also would

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<sup>7</sup> FINRA Gateway became the platform for filing registration forms starting in 2021 with a phase-in process for Forms U4, U5 and BR.

<sup>8</sup> FINRA Rule 8210(d) already provides flexibility for electronic delivery, including email or FINRA Gateway, to outside counsel.

be removed. That paragraph outlines FINRA’s responsibilities for transmitting 8210 requests when there is actual knowledge that the address in CRD is out of date or inaccurate.

The proposed rule change affects notification to member firms only and does not change the delivery requirements for 8210 requests sent to associated persons (including registered persons), which will continue to be delivered via mail or personal service. The proposed rule change also would not change the way member firms may respond to 8210 requests.

FINRA has filed the proposed rule change for immediate effectiveness. The implementation date of the proposed rule change will be May 26, 2026.

## 2. Statutory Basis

FINRA believes that the proposed rule change is consistent with the provisions of Section 15A(b)(6) of the Act,<sup>9</sup> which requires, among other things, that FINRA rules be designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, and, in general, to protect investors and the public interest. FINRA believes that the proposed rule change is also consistent with Section 15A(b)(8) of the Act,<sup>10</sup> which requires, among other things, that FINRA rules provide a fair procedure for the disciplining of members and persons associated with members.

FINRA believes that the proposed rule change protects investors and the public interest by modernizing its rules to specify that FINRA will deliver electronically its requests for information and testimony to member firms through FINRA Gateway. Rule 8210 requests are a critical tool for collecting timely information that can assist FINRA in detecting, deterring, and

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<sup>9</sup> 15 U.S.C. 78o-3(b)(6).

<sup>10</sup> 15 U.S.C. 78o-3(b)(8).

addressing activities that may harm investors or undermine market integrity. The proposed rule change promotes efficiency by using modern technology, FINRA Gateway, to securely and expeditiously transmit 8210 requests to member firms. FINRA's ability to efficiently send 8210 requests, and to collect accurate and complete information, not only protects investors but also supports fair and timely resolution of examinations and investigations for its members.

B. Self-Regulatory Organization's Statement on Burden on Competition

FINRA does not believe that the proposed rule change will result in any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

As mentioned above, FINRA staff already sends 8210 requests to member firms through FINRA Gateway, in addition to sending the same 8210 request via physical mail to comply with the current rule. The proposed rule change would allow FINRA to use only electronic means. FINRA believes that the proposed rule change would create administrative efficiencies for both FINRA staff and member firms. Member firms that receive physical mail in FINRA correspondence incur administrative costs to open and manage the material, which may include converting to electronic format, even if they also receive electronic correspondence.<sup>11</sup>

The proposed rule change would eliminate these activities and the associated costs. This streamlining may also result in faster and more reliable communication of regulatory requests and responses. Member firms' familiarity with the functionality of FINRA Gateway should minimize one-time implementation challenges and costs. Member firms may need to update

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<sup>11</sup> The proposed amendments to Rule 8210(d) are consistent with FINRA's amendments to the Rule 9000 Series (effective October 2025), which require use of the Office of Hearing Officers (OHO) Docket Portal instead of email as the primary method of filing and service of most papers in OHO proceedings. See Regulatory Notice 25-10 (Sept. 17, 2025).

internal procedures, and those that prefer internal paper-based processes would need to print the 8210 requests on an ongoing basis. Where an 8210 request is sent to outside counsel of a member firm who does not currently have access to FINRA Gateway, there would be a minimal cost of time associated with setting up access.

FINRA believes that there would be no material competitive impacts on member firms. Because FINRA Gateway access is universal among member firms regardless of size or business model, all member firms are similarly positioned to receive electronic delivery of 8210 requests. The proposed amendment does not differentiate by firm size or business model, ensuring consistent application across FINRA's membership.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments were neither solicited nor received.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

Because the foregoing proposed rule change does not: (i) significantly affect the protection of investors or the public interest; (ii) impose any significant burden on competition; and (iii) become operative for 30 days from the date on which it was filed, or such shorter time as the Commission may designate, it has become effective pursuant to Section 19(b)(3)(A) of the Act<sup>12</sup> and Rule 19b-4(f)(6) thereunder.<sup>13</sup>

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or

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<sup>12</sup> 15 U.S.C. 78s(b)(3)(A).

<sup>13</sup> 17 CFR 240.19b-4(f)(6).

otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings to determine whether the proposed rule should be approved or disapproved.

#### IV. Solicitation of Comments

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

##### Electronic Comments:

- Use the Commission's internet comment form (<https://www.sec.gov/rules/sro.shtml>); or
- Send an email to [rule-comments@sec.gov](mailto:rule-comments@sec.gov). Please include file number SR-FINRA-2026-008 on the subject line.

##### Paper Comments:

- Send paper comments in triplicate to Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-1090.

All submissions should refer to file number SR-FINRA-2026-008. This file number should be included on the subject line if email is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's internet website (<https://www.sec.gov/rules/sro.shtml>).

Copies of the filing will be available for inspection and copying at the principal office of FINRA.

Do not include personal identifiable information in submissions; you should submit only information that you wish to make available publicly. We may redact in part or withhold entirely from publication submitted material that is obscene or subject to copyright protection.

All submissions should refer to file number SR-FINRA-2026-008 and should be submitted on or before [INSERT DATE 21 DAYS AFTER DATE OF PUBLICATION IN THE *FEDERAL REGISTER*].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.<sup>14</sup>

**J. Matthew DeLesDernier,**  
*Deputy Secretary.*

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<sup>14</sup> 17 CFR 200.30-3(a)(12).