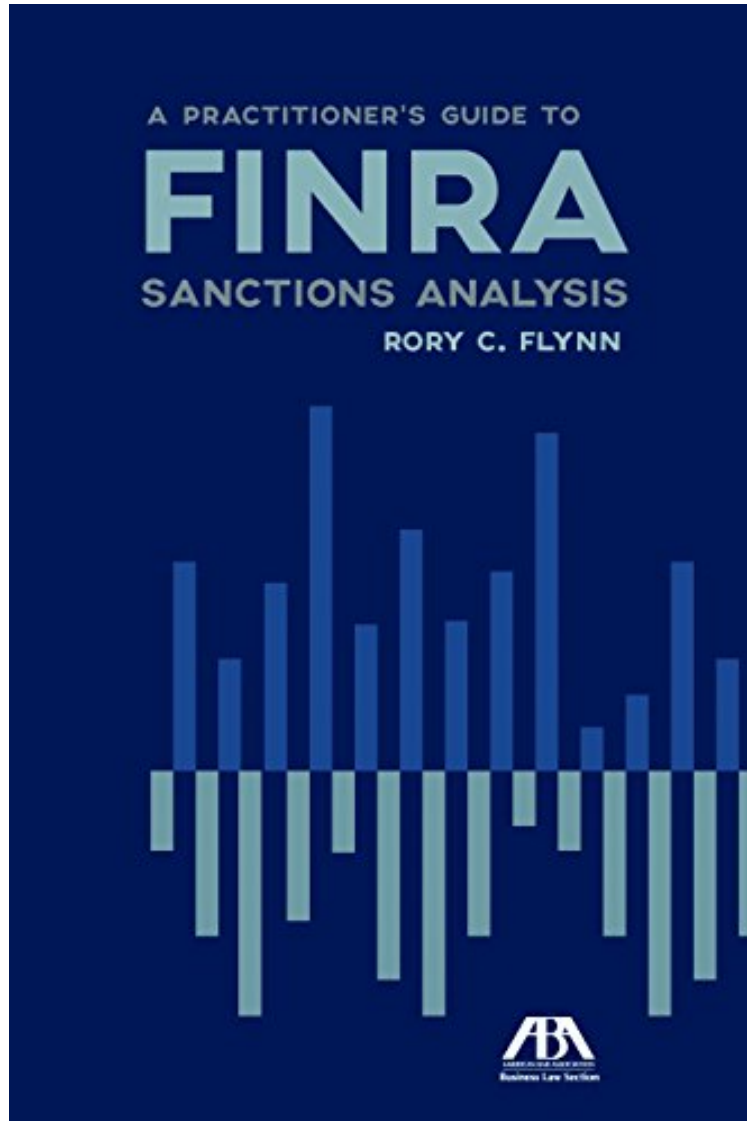


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# A Practitioner's Guide to FINRA Sanctions Analysis

*Rory C. Flynn*

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The Financial Industry Regulatory Authority, Inc. (FINRA) is the largest, independent regulator of securities firms doing business in the United States, and part of the Securities Exchange Act of 1934's interrelated and comprehensive

system for regulating the securities markets. This book gives a comprehensive overview and practical advice to lawyers regarding one segment of FINRA's disciplinary processsanctions analysis. This guide contains practical, in-depth knowledge any practitioner in front of FINRA should know and can immediately use; historical development of various FINRA sanctions, with the purpose of understanding the basis for those sanctions; and limitations on FINRA's ability to impose certain sanctions. The book assumes a panel held a hearing, found liability, and is assessing sanctions. However, the same analysis may be used during settlement negotiations to determine what sanctions might realistically be imposed and enforced.

About the AuthorRory C. Flynn was Chief Litigation Counsel in the Department of Enforcement at FINRA (and at its predecessor, NASD). He later served as Associate General Counsel with the SEC's Office of the General Counsel, heading its Adjudication practice group.