

Corporate & Financial Weekly Digest

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FINRA Reminds Firms of Electronic Reporting Obligations for Specified Events and Quarterly Customer Complaints

The Financial Industry Regulatory Authority has issued a Regulatory Notice reminding member firms of their electronic reporting obligations regarding specified events and quarterly customer complaint information required under current NASD Rule 3070 and Incorporated New York Stock Exchange Rule 351, and new FINRA Rule 4530, which becomes effective July 1. In the Regulatory Notice, FINRA reminds member firms that for matters that become subject to reporting prior to July 1, NASD Rule 3070 and Incorporated NYSE Rule 351 will remain in effect. For matters that become subject to reporting on or after July 1, under new FINRA Rule 4530, member firms must continue to report specified events and quarterly statistical and summary information on written customer complaints electronically via the Regulatory Filings Application on the FINRA Firm Gateway.

Click [here](#) to read FINRA Regulatory Notice 11-10.

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