

Corporate & Financial Weekly Digest

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FINRA Launches Disciplinary Actions Database

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On May 16, the Financial Industry Regulatory Authority announced the launch of the FINRA Disciplinary Actions Online database, a web-based searchable system that makes disciplinary documents accessible to the public. The database enables users to search FINRA actions free of charge by case number, document text, document type, action date (by date range), a combination of document text and action date, individual name and Central Registration Depository (CRD) number, or firm name and CRD number. The documents can be viewed online, printed, or downloaded as text-searchable PDF files. The disciplinary action documents made available include Letters of Acceptance, Waivers and Consent, settlements, National Adjudicatory Council decisions, Office of Hearing Officers decisions and complaints. BrokerCheck reports will now link to disciplinary actions housed in the database. In addition, starting on June 15, FINRA Monthly Disciplinary Actions will link each write-up to its corresponding action in the database.

The database is available [here](#).
Click [here](#) to read the FINRA release.

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