

2019 – Securities Rule QuickGuide

This QuickGuide is intended to help you quickly find selected FINRA Rules related to common securities litigation topics. This guide does not include all FINRA Rules, sections or regulatory notices and is not intended to be a substitute for the FINRA Manual. Information in this guide may become outdated as new rules are adopted. See the [FINRA Manual](#) for the most complete and current information. www.finra.org

FINRA Rule 2010 – Standards of Commercial Honor and Principles of Trade

Selected Notices: [96-44](#), [08-57](#). Note: This is an ethics rule.

FINRA Rule 2020 – Use of Manipulative, Deceptive or Other Fraudulent Devices

Selected Notice: [08-57](#).

FINRA Rule 2040 – Payments to Unregistered Persons

Selected Notices: [95-37](#), [15-07](#). Note: This rule also covers Retiring Representatives and Nonregistered Foreign Finders.

FINRA Rule 2080 - Obtaining Expungement of Customer Dispute Information from the CRD System

Selected Notices: [04-16](#), [09-33](#). . Note: Also see [FINRA Rule 2081](#)

FINRA Rule 2090 - Know Your Customer

Selected Notices: [11-02](#), [11-25](#), [12-25](#)

Every member shall use reasonable diligence, regarding the opening and maintenance of every account, to know (and retain) the essential facts concerning every customer and concerning the authority of each person acting on behalf of such customer.

FINRA Rule 2111 - Suitability (See [FINRA Rule 2100](#) for All Transactions with Customers Rules)

Selected Notices: [11-02](#), [11-25](#), [12-25](#), [12-55](#)

A member or an associated person must have a reasonable basis to believe that a recommended transaction or investment strategy involving a security or securities is suitable for the customer, based on the information obtained through the reasonable diligence of the member or associated person to ascertain the customer's investment profile.

FINRA Rule 2114 - Recommendations to Customers in OTC Equity Securities

Selected Notices: [02-66](#), [09-20](#).

FINRA Rule 2120 – Commissions, Markups and Charges

See [FINRA Rules 2121](#) (Fair Prices and Commissions), [2122](#) (Charges for Services) and [2124](#) (Net Transactions)

FINRA Rule 2130 - Approval Procedures for Day-Trading Accounts

Selected Notices: [00-62](#), [09-72](#). Note: See [FINRA Rule 2270](#)

FINRA Rule 2140 - Interfering with the Transfer of Customer Accounts in the Context of Employment Disputes

Selected Notices: [02-07](#), [09-20](#)

FINRA Rule 2150 - Improper Use of Customers' Securities or Funds; Prohibition Against Guarantees and Sharing in Accounts

Selected Notices: [83-74](#), [86-74](#), [88-55](#), [01-24](#), [03-21](#), [09-60](#)

FINRA Rule 2165 – Financial Exploitation of Specified Adults

Selected Notice: [17-11](#)

FINRA Rule 2210 - Communications with the Public (See [FINRA Rule 2200](#) For All Communications)

Selected Notices: [98-83](#), [99-16](#), [00-15](#), [00-22](#), [03-38](#), [04-36](#), [04-64](#), [06-48](#), [07-02](#), [07-47](#), [09-10](#), [12-29](#), [14-30](#), [15-50](#), [16-41](#)

This rule pertains to “Communications”, “Correspondence” and “Institutional communication”

FINRA Rule 2211 - Communications with the Public About Variable Life Insurance and Variable Annuities

Selected Notice: [03-38](#)

FINRA Rule 2212 - Use of Investment Companies Rankings in Retail Communications

Selected Notices: [86-41](#), [92-59](#), [93-18](#), [93-73](#), [93-76](#), [93-85](#), [93-87](#), [94-16](#), [94-25](#), [94-36](#), [94-60](#), [95-49](#), [95-74](#), [95-80](#), [12-29](#)

FINRA Rule 2213 - Requirements for the Use of Bond Mutual Fund Volatility Ratings

Selected Notices: [96-84](#), [00-17](#), [00-23](#), [12-29](#), [16-41](#)

FINRA Rule 2215 - Communications with the Public Regarding Security Futures

Selected Notice: [12-29](#)

FINRA Rule 2216 - Communications with the Public About Collateralized Mortgage Obligations (CMOs)

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Selected Notice: [12-29](#)

[FINRA Rule 2220 - Options Communications](#)

Selected Notices: [85-69](#), [86-68](#), [87-24](#), [87-43](#), [88-20](#), [88-52](#), [88-65](#), [89-11](#), [91-26](#), [91-62](#), [92-56](#), [99-16](#), [04-36](#), [08-28](#), [08-73](#), [09-60](#)

[FINRA Rule 2230 – Customer Account Statements and Confirmations](#)

Selected Notices: [10-62](#), [17-08](#), [17-24](#)

[FINRA Rule 2251 - Processing and Forwarding of Proxy and Other Issuer-Related Materials](#)

Selected Notices: [85-26](#), [86-35](#), [86-46](#), [91-57](#), [92-17](#), [95-45](#), [02-33](#), [03-26](#), [09-72](#), [14-03](#)

[FINRA Rule 2260 – Disclosures – Rules 2261 Through 2269 Cover Required Disclosures](#)

[FINRA Rule 2264 – Margin Disclosure See also \[Margin Accounts and Requirements\]\(#\)](#)

Selected Notices: [01-31](#), [02-35](#), [09-60](#).

[FINRA Rule 2270 - Day-Trading Risk Disclosure Statement](#)

Selected Notices: [00-62](#), [02-35](#), [09-72](#) . Note: See also [FINRA Rule 2130](#)

[FINRA Rule 2310 - Direct Participation Programs \(See \[FINRA Rule 2300\]\(#\) for All Special Products\)](#)

Selected Notices: [73-50](#), [77-03](#), [78-12](#), [81-34](#), [82-14](#), [82-50](#), [82-51](#), [82-52](#), [83-13](#), [84-28](#), [84-64](#), [85-17](#), [85-29](#), [86-66](#), [86-81](#), [88-88](#), [89-16](#), [91-56](#), [91-78](#), [93-15](#), [93-44](#), [94-24](#), [94-70](#), [95-63](#), [95-64](#), [08-35](#), [09-33](#), [15-02](#).

[FINRA Rule 2320 - Variable Contracts of an Insurance Company](#)

Selected Notices: [75-68](#), [88-17](#), [91-25](#), [91-68](#), [94-67](#), [95-56](#), [96-52](#), [96-86](#), [97-27](#), [97-48](#), [97-50](#), [98-75](#), [99-35](#), [99-55](#), [99-103](#), [00-44](#), [01-63](#), [09-5](#)

[FINRA Rule 2330. Members' Responsibilities Regarding Deferred Variable Annuities](#)

Selected Notices: [07-53](#), [09-32](#), [09-72](#)..

[FINRA Rule 2342 - "Breakpoint" Sales](#)

Selected Notices: [98-98](#), [00-53](#), [09-33](#).

[FINRA Rule 2360 – Options](#)

Selected Notices: [76-8](#), [76-24](#), [76-31](#), [77-5](#), [78-50](#), [78-54](#), [79-41](#), [79-42](#), [79-43](#), [80-22](#), [80-23](#), [80-29](#), [80-36](#), [80-46](#), [80-55](#), [81-04](#), [82-42](#), [85-18](#), [86-74](#), [89-64](#), [93-15](#), [94-24](#), [94-46](#), [95-25](#), [95-47](#); [96-15](#), [99-20](#); [01-01](#), [05-06](#), [06-54](#), [07-03](#), [07-11](#), [07-37](#), [08-04](#), [08-28](#), [08-78](#), [10-36](#), [13-39](#).

[FINRA Rule 2510 - Discretionary Accounts](#)

Selected Notices: [75-33](#), [76-30](#), [91-39](#), [91-80](#), [92-25](#), [93-1](#), [04-71](#)

[FINRA Rule 3000 - Supervision and Responsibilities Relating to Associated Persons](#)

Note: This rulebook section contains three important sub sections related to supervision and anti-money laundering.

[FINRA Rule 3240 - Borrowing From or Lending to Customers](#)

Selected Notice: [10-21](#)

[FINRA Rule 3270 - Outside Business Activities of Registered Persons](#)

Selected Notices: [88-5](#), [88-45](#), [88-86](#), [89-39](#), [90-37](#), [94-44](#), [94-93](#), [96-33](#), [01-79](#), [10-49](#) Note: Works with FINRA Rule 3280

[FINRA Rule 3280 - Private Securities Transactions of an Associated Person](#)

Selected Notices: [75-34](#), [80-62](#), [82-39](#), [85-21](#), [85-54](#), [85-84](#), [91-32](#), [94-44](#), [96-33](#), [01-79](#), [03-79](#) . Note: Works with FINRA Rule 3270

[FINRA RULE 5300 - 5300. Handling of Customer Orders](#)

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