

It's about time FINRA got around to making arbitration claims that do not name the broker, but do concern his/her activities, reportable on the broker's CRD. Why it took FINRA so many, many years to implement this simple change, which will only serve to protect the investing public, must remain a mystery. We can chalk it up as another reason that FINRA should be abolished and that the securities industry should not be permitted to police itself.

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