WE ARE FINRA

We believe in protecting America's 90 million investors. That's our job.
Because if people don't trust in the markets, they won't invest in the markets.

We believe in thinking big.

We oversee every brokerage firm and broker doing business with the U.S. public. That's more than 4,200 firms and nearly 630,000 brokers.

Our technology is powerful enough to look across markets and detect potential fraud.

We monitor **6 billion** shares traded every day.

We believe in being aggressively vigilant.

If brokers break the rules, we have the power to fine them, suspend them or bar them from the industry.

In 2012, we expelled 30 firms from the industry, suspended 549 brokers and barred 294 brokers from doing business.

We also fined firms more than $68 million, and ordered restitution of **$34 million** to investors who had been harmed.

We have the flexibility to innovate and invest in technology.

We believe in independence.

We're not a government agency.
We're an independent regulator authorized by Congress to do our job.

We believe in setting standards.

All brokers must pass our qualification exams and satisfy continuing education requirements.

Every brokerage firm and broker that does business with the U.S. public must be licensed and registered by FINRA.

Investors can use our free online tool—BrokerCheck®—to check the background of brokers and firms.

We believe in a boots-on-the-ground approach.

We work in communities across the country.

We educate and protect investors from **20 offices** in **17 cities** around the United States.

The average FINRA employee stays with us for **7** years. Nearly **20%** of our employees have been with us for more than **15 years**. Over **12%** of our new hires in 2012 were re-hires— now what does that tell you?

We believe in our smart, passionate and dedicated 3,400 employees.

FINRA®

We believe in doing what's right for investors.

SHOULDN'T EVERYONE?

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