



FINRA at Work

“FINRA has offered me incredible opportunities to help protect the investing public. Every day, I am challenged—by keeping up with the ever-changing securities market and working with colleagues who help me grow professionally. We all do our best because everything we do matters to real people.”

*—Ivette Lopez, Vice President,
Office of Investor Education*

Front cover

We work every day to protect investors.

There are more than 53 million American households invested in the U.S. capital markets. Every day FINRA works to ensure investors receive the basic protections they deserve—regardless of what kind of financial product they buy or who sells it to them.

FINRA is every investor's advocate—for stronger protections and a healthier marketplace.

Find out more about us and how we work.

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"Our goal at FINRA is to make sure that investors are treated fairly, no matter how much they have invested. In my job—working on technology that is important to FINRA's overall mission—I'm proud to play a part in protecting those investors."

*—Permayshwar Jagerdeo,
Software Department Lead,
Enterprise Services*

We are FINRA.

We are the Financial Industry Regulatory Authority. Our job is to protect investors every day by keeping the country's capital markets fair.

We're the leading independent regulator for all securities firms doing business in the United States—about 4,400 firms employing nearly 630,000 registered representatives.

We educate the public, preparing them to make smarter investment decisions.

And, we're every investor's advocate—from mainstream to baby boomers, military to seniors, and everyone in between.

Without us, confidence in the fairness and attractiveness of the markets could be lost.

- ▶ Empowered by the federal government, we're here to protect American investors from fraud and bad practices.
- ▶ We do that by writing and enforcing rules governing the activities of every firm and broker that sells securities in the U.S. By examining firms for compliance with those rules. By fostering market transparency. And by educating investors.

We're one team with one mission.



"Everyone's role is vital here — we all work together to achieve FINRA's mission. I help other departments with their budget planning, financial reporting and other business initiatives, so they can focus on educating investors and regulating member firms."

—Johanna Jones, Financial Analyst, Financial Planning

Our mission is clear—to provide investor protection and promote market integrity—and our effectiveness is crucial to the health of the capital markets. FINRA touches virtually every aspect of the U.S. securities business, including:

- ▶ writing rules, examining securities firms to ensure that they're adhering to those rules and, when necessary, taking action against brokers or firms that don't comply;
- ▶ registering securities firms, brokers and mutual fund corporations;
- ▶ informing and educating the investing public;
- ▶ providing real-time transaction and price data for eligible fixed income securities—thus bringing transparency to the market; and
- ▶ administering the largest forum specifically designed to resolve securities-related disputes.

To accomplish this each day, we are committed to recruiting, and retaining, the very best employees. And while our professional backgrounds may vary—ranging from law and finance to technology, accounting and administration—we all share a strong dedication to FINRA's mission.



"Each exam I work on provides insight into different areas of the securities industry. Through excellent training and hands-on experience—I'm able to learn how FINRA works with registered firms to ensure investor protection."

—Tom Mellett, Examination Manager, Member Regulation

We invest in our people.

With approximately 3,300 employees nationwide, FINRA is committed to a diverse, high-performance workplace. We recognize that it's the hard work and dedication of our team that makes FINRA the strong, successful organization it is. That's why we offer a highly competitive compensation, benefits and services package, and an employee recognition program. The value of employment at FINRA not only includes a competitive salary and incentives, but also outstanding insurance, retirement and savings plans.

FINRA employees and their dependents are eligible for a comprehensive benefits program as outlined below.

Health and welfare benefits:

- ▶ medical
- ▶ dental
- ▶ vision
- ▶ employee and dependent life insurance
- ▶ employee and dependent accidental death and dismemberment (AD&D) insurance
- ▶ business travel accident insurance
- ▶ short- and long-term disability benefits
- ▶ long-term care insurance
- ▶ domestic partner benefits
- ▶ health advocacy program
- ▶ health and dependent care flexible spending accounts
- ▶ employee assistance plan

Retirement and savings benefits:

- ▶ 401(k) plan with company match
- ▶ company-funded retirement contribution based on age and years of service
- ▶ retiree health care savings program

We encourage professional growth.



“After a year as an administrative assistant, my manager encouraged me to become a paralegal. Thanks to FINRA’s educational assistance program, I attended evening classes, earned my certification and obtained a new, challenging position.”

—Kate Shaffer, Paralegal, Market Regulation

At FINRA, we offer more than just a job; we provide employees with the learning and educational tools needed to enhance their knowledge, talents and abilities—whether it’s an online course to enhance productivity or a seminar to develop leadership skills.

Our professional development courses include online and in-person workshops. Employees can learn to better manage priorities and deadlines, enhance presentation effectiveness and sharpen software skills. We also offer a wide range of leadership training and development opportunities.

Our intranet houses a variety of courses, books and other tools to assist you. We provide tuition reimbursement for eligible employees. No matter your level of expertise, we offer resources to support your professional development.

- FINRA oversees and regulates over-the-counter trading of exchange-listed and non-exchange-listed securities for compliance with FINRA rules and the federal securities laws.



"It's fulfilling to work on cutting-edge legal and enforcement issues that positively affect investors and the markets. FINRA offers a fast-paced—but supportive—environment that encourages development and advancement."

*—Richard Best, Director,
Enforcement Center*

We encourage balance.

At FINRA, we recognize how important it is to keep work and life in balance, and we strive to help employees achieve that through a variety of worklife programs. Over the years, we've been honored for our efforts: *Working Mother* Magazine included us among its 100 Best Companies, AARP named us one of its 50 Best Employers for Workers Over 50, *Computerworld* Magazine chose us as one of the 100 Best Places to Work in IT and the Alliance for Workplace Excellence has awarded us its Workplace Excellence Seal and Health and Wellness Trailblazer award for several years running. In addition, FINRA offers a wide range of family care, financial, wellness and convenience services, including:

- ▶ an employee assistance program;
- ▶ flexible spending accounts for dependent day care and health care expenses;
- ▶ tuition reimbursement;
- ▶ employee resource groups;
- ▶ transportation and commuter benefits;
- ▶ adoption assistance;
- ▶ back-up care programs;
- ▶ healthy behavior incentives;
- ▶ wellness rooms/lactation rooms;
- ▶ flexible work arrangements;
- ▶ discount fitness and health club memberships; and
- ▶ special employee discounts on computers, gifts, entertainment and more.

We're expanding our team.

- ▶ FINRA has approximately 3,300 employees and operates from Washington, DC, and New York, NY, with 20 regional offices around the country.

We're recruiting talented, dedicated people to help us achieve our mission: protecting investors and keeping the markets fair. And whatever role you play—whether it's monitoring trades, writing rules, conducting examinations, educating investors or reviewing industry ads—you'll have an opportunity to make important contributions to our success.

You'll be a part of an organization that is committed to fostering an environment that recognizes and values its employees and constituents, and treats all people with respect. We believe that diversity and inclusion are business imperatives—they enable us to attract, retain and develop the best talent available, and to approach regulatory challenges with efficiency, creativity and innovation. All of this helps us move our mission forward.

We offer careers for candidates with academic and/or employment backgrounds in the following:

- ▶ Accounting
- ▶ Administration
- ▶ Audit
- ▶ Communications
- ▶ Compliance
- ▶ Economics
- ▶ Finance
- ▶ Human Resources
- ▶ Legal
- ▶ Public Policy
- ▶ Regulation
- ▶ Statistics
- ▶ Strategy
- ▶ Technology

In addition to career opportunities, we also offer a variety of internship programs. FINRA is an equal opportunity and affirmative action employer. To learn more, visit www.finra.org/careers.



We're located nationwide.

Corporate Offices:

New York, NY
Rockville, MD
Washington, DC

Regional Offices:

Atlanta
Boca Raton, FL
Boston
Chicago
Dallas
Denver
Jericho, NY
Kansas City, MO
Los Angeles
New Orleans
New York
Philadelphia
San Francisco
Seattle
Woodbridge, NJ

FINRA is committed to creating a work environment that develops the personal and professional growth of its employees—regardless of age, color, disability, marital status, national origin, race, religion, sex, sexual orientation or veteran status.

Benefits information is not to be construed as a guarantee of benefits. Conditions and eligibility apply. FINRA reserves the right to alter, amend or abolish any part of or all of the benefits described here.



www.finra.org/careers



Investor protection. Market integrity.

FINRA
Discoverly
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