

Regulatory Notice

13-03

Communications With the Public

FINRA Provides Guidance on New Rules Governing Communications With the Public

FINRA staff has received a number of questions since it published [Regulatory Notice 12-29](#), which announced SEC approval of FINRA's new rule on communications with the public. The new communications rules become effective February 4, 2013. To provide additional guidance on compliance with the new rules, FINRA has published a set of [questions and answers](#) on the Advertising Regulation page on the FINRA website.

Questions concerning this *Notice* should be directed to:

- ▶ Thomas A. Pappas, Vice President and Director, Advertising Regulation, at (240) 386-4553; or
- ▶ Joseph P. Savage, Vice President and Counsel, Investment Companies Regulation, at (240) 386-4534.

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Notice Type

- ▶ Consolidated Rulebook
- ▶ Guidance

Suggested Routing

- ▶ Advertising
- ▶ Compliance
- ▶ Investment Companies
- ▶ Legal
- ▶ Registered Representatives
- ▶ Research
- ▶ Senior Management

Key Topics

- ▶ Advertising
- ▶ Communications With the Public
- ▶ Referenced Rules & Notices
- ▶ FINRA Rule 2200 Series
- ▶ Regulatory Notice 12-29



Financial Industry Regulatory Authority