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INSURANCE PROFESSIONALS, ACCOUNTANTS AND STOCK BROKERS



[FINRA Launches New Disciplinary Actions Database](#)

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This week, FINRA announced that it had launched the FINRA Disciplinary Actions Online database. According to FINRA's [news release](#), this is a web-based searchable system that makes its disciplinary actions accessible via its website at www.finra.org.

The database enables users to perform searches for FINRA actions free of charge, seven days a week. Users may search for actions by case number, document text, document type, action date (by date range), a combination of document text and action date, individual name and Central Registration Depository (CRD[®]) number, or firm name and CRD number. The documents can be viewed online, printed, or downloaded as text-searchable PDF files.

Previously, the public had to contact FINRA to obtain copies of disciplinary actions. The new database makes available disciplinary action documents including Letters of Acceptance, Waivers and Consent (AWCs), settlements, National Adjudicatory Council decisions, Office of Hearing Officers decisions and complaints.

BrokerCheck[®] reports will now link to disciplinary actions housed in the system, as it currently does for arbitration awards in the Arbitration Awards Online database. Beginning June 15th, FINRA Monthly Disciplinary Actions will also link each write-up to its corresponding action in the database.