



FINRA Rules Resource Guide

(As of June 28, 2022)

[FINRA Rule 2010 – Standards of Commercial Honor and Principles of Trade](#)

[FINRA Rule 2020 – Use of Manipulative, Deceptive, or Other Fraudulent Devices](#)

[FINRA Rule 2040 – Payments to Unregistered Persons](#)

[FINRA Rule 2080 – Obtaining an Order of Expungement of Customer Dispute Information from the Central Registration Depository \(CRD\) System](#)

[FINRA Rule 2090 – Know Your Customer](#)

[FINRA Rule 2111 – Suitability](#)

[FINRA Rule 2114 – Recommendations to Customers in OTC Equity Securities](#)

[FINRA Rule 2121 – Fair Prices and Commissions](#)

[FINRA Rule 2122 – Charges for Services Performed](#)

[FINRA Rule 2124 – Net Transactions with Customers](#)

[FINRA Rule 2130 – Approval Procedures for Day-Trading Accounts](#)

[FINRA Rule 2140 – Interfering with the Transfer of Customer Accounts in the Context of Employment Disputes](#)

[FINRA Rule 2150 – Improper Use of Customers’ Securities or Funds; Prohibition Against Guarantees and Sharing in Accounts](#)

[FINRA Rule 2165 – Financial Exploitation of Specified Adults](#)

[FINRA Rule 2210 – Communications with the Public \(See FINRA Rule 2210 for All Communications\)](#)

[FINRA Rule 2211 – Communications with the Public About Variable Life Insurance and Variable Annuities](#)

[FINRA Rule 2212 – Use of Investment Companies Rankings in Retail Communications](#)

[FINRA Rule 2213 – Requirements for the Use of Bond Mutual Fund Volatility Ratings](#)

[FINRA Rule 2214 – Requirements for the Use of Investment Analysis Tools](#)

FINRA Rule 2215 – Communications with the Public Regarding Security Futures

FINRA Rule 2216 – Communications with the Public about Collateralized Mortgage Obligations (CMOs)

FINRA Rule 2220 – Options Communications

FINRA Rule 2232 – Customer Confirmations

FINRA Rule 2251 – Processing and Forwarding of Proxy and Other Issuer-Related Materials

FINRA Rule 2264 – Margin Disclosure Statement

FINRA Rule 2267 – Investor Education and Protection

FINRA Rule 2270 – Day Trading Risk Disclosure Statement

FINRA Rule 2310 – Direct Participation Programs (See FINRA Rule 2300 for All Special Products)

FINRA Rule 2320 – Variable Contracts of Insurance Companies

FINRA Rule 2330 – Members’ Responsibilities Regarding Deferred Variable Annuities

FINRA Rule 2350 – Trading in Index Warrants, Currency Index Warrants and Currency Warrants

FINRA Rule 2360 - Options

FINRA Rule 3110 – Supervision

FINRA Rule 3120 – Supervisory Control System

FINRA Rule 3130 – Annual Certification of Compliance and Supervisory Processes

FINRA Rule 3170 – Tape Recording of Registered Persons by Certain Firms

FINRA Rule 3210 – Accounts at other Broker-Dealer and Financial Institutions

FINRA Rule 3260 – Discretionary Accounts

FINRA Rule 3270 – Outside Business Activities of Registered Persons

FINRA Rule 3280 – Private Securities Transactions of an Associated Person

FINRA Rule 4210 – Margin Requirements

FINRA Rule 4512 – Customer Account Information

FINRA Rule 4513 – Records of Written Customer Complaints

[FINRA Rule 4530 – Reporting Requirements](#)

[FINRA Rule 5123 – Private Placements](#)

[FINRA Rule 5141 – Sale of Securities in a Fixed Price Offering](#)

[FINRA Rule 5310 – Best Execution and Interpositioning](#)

[FINRA Rule 6274 – Clearance and Settlement](#)

[FINRA Rule 7000 – Clearing, Transactions and Order Data Requirements](#)

[FINRA Rule 7350 – Obligation to Honor Trades](#)

[FINRA Rule 8210 – Provision of Information and Testimony and Inspection and Copying of Books](#)

[FINRA Rule 8300 – Sanctions](#)

[FINRA Rule 9131 – Service of Complaint](#)

[FINRA Rule 9141 – Pre-hearing Conference](#)

[FINRA Rule 9145 – Rules of Evidence](#)

[FINRA Rule 9146 – Motions](#)

[FINRA Rule 9147 – Rulings on Procedural Matters](#)

[FINRA Rule 9215 – Answer to Complaint](#)

[FINRA Rule 9221 – Request for Hearing](#)

[FINRA Rule 9233 – Hearing Panel or Extended Hearing Panel: Recusal and Disqualification of Hearing Officers](#)

[FINRA Rule 9253 – Production of Witness Statements](#)

[FINRA Rule 9261 – Evidence and Procedure in Hearing](#)

[FINRA Rule 9262 – Testimony](#)

[FINRA Rule 9263 – Evidence Admissibility](#)

[FINRA Rule 9264 – Motion for Summary Disposition](#)

[FINRA Rule 9265 – Record of Hearing](#)

[FINRA Rule 9270 – Settlement Procedures](#)

FINRA Rule 9290 – Expedited Disciplinary Proceedings

FINRA Rule 9360 – Effectiveness of Sanctions

FINRA Rule 9620 – Decision

FINRA Rule 9630 – Appeal

FINRA Rule 9830 – Hearing

FINRA Rule 12000 – Code of Arbitration Procedure for Customer Disputes

FINRA Rule 13000 – Code of Arbitration Procedure for Industry Disputes

Robert D. Lawson, AIF®, MRFC®, CFE®, LUTCF®
Direct Phone: (952) 857-2411 | Toll Free: (800) 741-0704 | BLawson@Barrington-Inc.com
President | Barrington Financial Consulting Group, Inc.
Securities & Insurance Expert Witness & Litigation Support Consultant
FINRA & NFA Arbitrator | FINRA Mediator
FINRA Rules are Subject to Change