

FINRA Bars Former President Of Broker-Dealer Along With Former Registered Representatives

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Reflecting increased regulatory willingness to discipline principals and supervisors, FINRA recently announced that it had imposed an industry bar on the former president of a defunct broker-dealer, along with five registered representatives who likewise were barred in all capacities. FINRA also barred two former principals from continuing to act in a principal capacity and imposed additional sanctions on other former employees...

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