

Financial Industry Regulatory Authority (FINRA)

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The **Financial Industry Regulatory Authority (FINRA)** is an independent, nongovernmental organization that writes and enforces the rules governing registered brokers and broker-dealer firms in the United States. Its stated mission is *“to safeguard the investing public against fraud and bad practices.”* It is considered a self-regulatory organization.

FINRA was created as the result of the consolidation of the National Association of Securities Dealers (NASD) and the member regulation, enforcement, and arbitration operations of the New York Stock Exchange (NYSE) in 2007. The consolidation was meant to do away with overlapping or redundant regulation and reduce the cost and complexity of compliance.

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