

# FINRA Compliance: The Essential Blueprint

FINRA compliance is an ongoing regulatory obligation for U.S. brokerage and securities firms. It requires a robust framework of policies, cybersecurity controls, and active supervision to protect investors and market integrity.

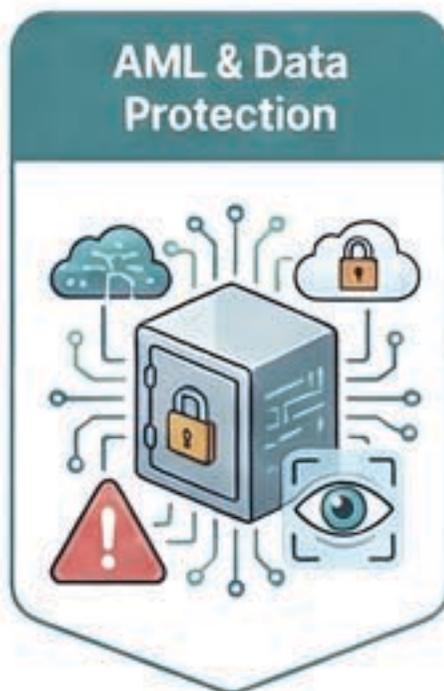
## Core Pillars of FINRA Compliance

## The Cost of Non-Compliance



### Supervisory & Written Procedures

Firms must document policies and have senior leadership annually certify their effectiveness.



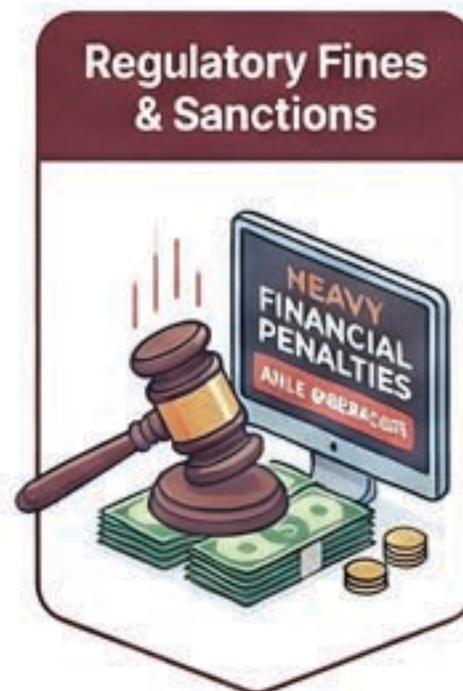
### AML & Data Protection

Requires active monitoring for suspicious activity and robust controls to secure customer data.



### Recordkeeping & Reporting

Accurate records of trades, communications, and regulatory filings must be consistently maintained.



### Regulatory Fines & Sanctions

FINRA and the SEC can impose heavy financial penalties for rule breaches.



### Operational & Legal Risk

Failures can disrupt trading and expose the firm to serious legal liability.



### Reputational Damage

Compliance lapses erode the trust of investors, partners, and the broader market.