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Direct Edge Regulatory Notice #14-02: Amendment to FINRA Rule 8312 Regarding BrokerCheck Disclosure

This circular is being issued to provide notice that, effective June 23, 2014, FINRA Rule 8312 (FINRA BrokerCheck® Disclosure) will be amended to include in BrokerCheck information about member firms and their associated persons of any registered national securities exchange that uses the Central Registration Depository (CRD®) for registration purposes. As BATS Exchange, Inc., BATS-Y Exchange, Inc., EDGA Exchange, Inc. and EDGX Exchange, Inc. (collectively, the “Exchanges”) utilize CRD for registration purposes, any Member of one or more of the Exchanges that is not currently a FINRA registered member firm will be included in BrokerCheck. The information that will be disclosed through BrokerCheck for such non-FINRA registered firms and their associated persons will be the same as the information that is currently disclosed about FINRA member firms and their associated persons. In addition, any non-FINRA registered firm and individuals will also be able to dispute inaccuracies in their BrokerCheck reports as provided for in FINRA Rule 8312(e).

This amendment was approved by the Securities and Exchange Commission in Release No. 34-71195 on December 27, 2013 and the text of the rule can be found in 79 FR 419, order approving [SR-FINRA-2013-047](#). Additional information may be found in FINRA Regulatory Notice 14-08 available on www.finra.org.

Please contact Membership Services at 913.815.7002 with any inquiries regarding this Regulatory Notice.