

Report on Supply Chain Compliance Volume 2, Number 12. June 27, 2019 Financial Industry Regulatory Authority issues new guidance

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The Financial Industry Regulatory Authority, Inc. (FINRA) issued Regulatory Notice 19-18 on May 6, clarifying red flags and obligations for reporting. The guidance works together with previous clarifications, including those issued in 2002 and subsequent documents regarding what designates a red flag, and what companies should do about them. The guidance states that the purpose of the clarification is to “provide guidance to member firms regarding suspicious activity monitoring and reporting obligations under FINRA Rule 3310 (Anti-Money Laundering Compliance Program).”

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