

Client Alert

Current Issues Relevant to Our Clients

July 27, 2015

SEC Seeks Comments on FINRA Proposal to Require Hyperlinks to BrokerCheck on Member Firms' Websites

The Securities and Exchange Commission (the “SEC”) is seeking comments on a proposed rule change by the Financial Industry Regulatory Authority, Inc. (“FINRA”) that would amend FINRA Rule 2210 (Communications with the Public) to require each of a member’s websites to include a readily apparent reference and hyperlink to BrokerCheck on (i) the initial webpage that the member intends to be viewed by retail investors and (ii) any other webpage that includes a professional profile of one or more registered persons who conducts business with retail investors. The proposal would not apply to a member that does not provide products or services to retail investors, or a directory or list of registered persons limited to names and contact information. The proposed rule change is available [here](#). You can submit comments to the SEC by submitting a hard copy, by using the SEC’s internet comment form link available under SR-FINRA-2015-022 at this [link](#), or by sending an e-mail to rule-comments@sec.gov with File Number SR-FINRA-2015-022 in the subject line. Comments on the proposed rule change must be submitted on or before August 3, 2015.

For More Information

To discuss any topic covered in this Client Alert, please contact a member of the Investment Management Group or visit us online at chapman.com.

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