



FINRA & NASD Rules Resource Guide

(As of May 16, 2019)

[FINRA Rule 2010 – Standards of Commercial Honor and Principles of Trade](#)

[FINRA Rule 2020 – Use of Manipulative, Deceptive, or Other Fraudulent Devices](#)

[FINRA Rule 2040 – Payments to Unregistered Persons](#)

[FINRA Rule 2080 – Obtaining an Order of Expungement of Customer Dispute Information from the Central Registration Depository \(CRD\) System](#)

[FINRA Rule 2090 – Know Your Customer](#)

[FINRA Rule 2111 – Suitability](#)

[FINRA Rule 2114 – Recommendations to Customers in OTC Equity Securities](#)

[FINRA Rule 2121 – Fair Prices and Commissions](#)

[FINRA Rule 2122 – Charges for Services Performed](#)

[FINRA Rule 2124 – Net Transactions with Customers](#)

[FINRA Rule 2130 – Approval Procedures for Day-Trading Accounts](#)

[FINRA Rule 2140 – Interfering with the Transfer of Customer Accounts in the Context of Employment Disputes](#)

[FINRA Rule 2150 – Improper Use of Customers’ Securities or Funds; Prohibition Against Guarantees and Sharing in Accounts](#)

[FINRA Rule 2165 – Financial Exploitation of Specified Adults](#)

[FINRA Rule 2210 – Communications with the Public \(See FINRA Rule 2210 for All Communications\)](#)

[FINRA Rule 2211 – Communications with the Public About Variable Life Insurance and Variable Annuities](#)

[FINRA Rule 2212 – Use of Investment Companies Rankings in Retail Communications](#)

[FINRA Rule 2213 – Requirements for the Use of Bond Mutual Fund Volatility Ratings](#)

[FINRA Rule 2214 – Requirements for the Use of Investment Analysis Tools](#)

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FINRA Rule 2215 – Communications with the Public Regarding Security Futures

FINRA Rule 2216 – Communications with the Public about Collateralized Mortgage Obligations (CMOs)

FINRA Rule 2220 – Options Communications

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FINRA Rule 2251 – Processing and Forwarding of Proxy and Other Issuer-Related Materials

FINRA Rule 2264 – Margin Disclosure Statement

FINRA Rule 2270 – Day Trading Risk Disclosure Statement

FINRA Rule 2310 – Direct Participation Programs (See FINRA Rule 2300 for All Special Products)

FINRA Rule 2320 – Variable Contracts of Insurance Companies

FINRA Rule 2330 – Members’ Responsibilities Regarding Deferred Variable Annuities

FINRA Rule 2350 – Trading in Index Warrants, Currency Index Warrants and Currency Warrants

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FINRA Rule 3110 – Supervision

FINRA Rule 3120 – Supervisory Control System

FINRA Rule 3130 – Annual Certification of Compliance and Supervisory Processes

FINRA Rule 3170 – Tape Recording of Registered Persons by Certain Firms

FINRA Rule 3260 – Discretionary Accounts

FINRA Rule 3270 – Outside Business Activities of Registered Persons

FINRA Rule 3280 – Private Securities Transactions of an Associated Person