

Implementing Compliance Practices for Social Media Webinar
Live Program Date: March 17, 2010
Resources

FINRA Regulatory Notices

- *FINRA Regulatory Notice 10-06, Guidance on Blogs and Social Networking Web Sites* (January 2010)

www.finra.org/Industry/Regulation/Notices/2010/P120760
- *FINRA Regulatory Notice 09-55, FINRA Requests Comments on Proposed New Rules Governing Communications with the Public* (September 2009)

www.finra.org/Industry/Regulation/Notices/2009/P120004
- *FINRA Regulatory Notice 07-59, Supervision of Electronic Communications; FINRA Provides Guidance Regarding the Review and Supervision of Electronic Communications* (December 2007)

www.finra.org/Industry/Regulation/Notices/2007/P037554

NASD Notices to Members

- *NASD Notice to Members 03-33, Instant Messaging; Clarification for Members Regarding Supervisory Obligations and Recordkeeping Requirements for Instant Messaging* (July 2003)

www.finra.org/Industry/Regulation/Notices/2003/P003248
- *NASD Notice to Members 01-23, Suitability Rule and Online Communications* (April 2001)

www.finra.org/Industry/Regulation/Notices/2001/P003886

FINRA, NASD and NYSE Rules

- NASD Rule 2210. Communications with the Public

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=10467&element_id=3617&highlight=2210#r10467
- NASD Rule 2711. Research Analysts and Research Reports

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4352&element_id=3675&highlight=2711%28b%29%283%29%28A%29#r4352
- NYSE Rule 472. Communications with the Public

http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=6575

- NASD Rule 2310. Direct Participation Programs

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=11706&element_id=8469&highlight=2310#r11706

- NASD Rule 3010. Supervision

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4395&element_id=3717&highlight=3010#r4395

- NASD Rule 3070. Reporting Requirements

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4408&element_id=3730&highlight=3070#r4408

- NYSE Rule 351. Reporting Requirements

http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=6523

- NASD Rule 3110. Books and Records

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=11853&element_id=3734&highlight=3110#r11853

- NYSE Rule 410. Records of Order

http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=6546

FINRA Podcasts

- February 19, 2008, *Electronic Communications: Introduction to Supervision*
- March 17, 2008, *Electronic Communications: What and Who*
- April 8, 2008, *Electronic Communications: Reviewing Correspondence*
- February 9, 2009, *Electronic Communications: Web Sites*
- February 23, 2009, *Electronic Communications: Blogs, Bulletin Boards and Chat Rooms*
- March 10, 2009, *Electronic Communications: Social Networking Sites*
- February 8, 2010, *Social Networking*

www.finra.org/Industry/Education/OnlineLearning/Podcasts/index.htm

Other FINRA Resources

- Guide to the Internet for Registered Representatives

www.finra.org/Industry/Issues/Advertising/p006118

SEC Resources

- SEC Release Nos. 34-58288; IC-28351, *Commission Guidance on the Use of Company Web Sites*

www.sec.gov/rules/interp/2008/34-58288.pdf

- SEC Release No. 34-47806, *Electronic Storage of Broker-Dealer Records*
www.sec.gov/rules/interp/34-47806.htm
- SEC Release No. 34-44238, *Guidance to Broker-Dealers on the Use of Electronic Storage Media*
www.sec.gov/rules/interp/34-44238.htm