

FINRA's Examination Priorities and Findings for 2020

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Carlton Fields Financial Services – Regulatory Practice Co-Chair Ann B. Furman authored an article detailing the Financial Industry Regulatory Authority (FINRA)'s examination priorities and findings for 2020. The article, published by the American Bar Association Securities Litigation Section, explores topics including sales practices and supervision, financial management, and financial institution operations. [READ: ABA Securities Litigation, "FINRA's Examination Priorities and Findings for 2020"](#)

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