

GFIN Member: Financial Industry Regulatory Authority (FINRA)	
Location: United States	
About Us	<p>FINRA’s mission is to protect investors and promote market integrity in a manner that facilitates vibrant capital markets. Under the supervision of the U.S. Securities and Exchange Commission, FINRA advances this mission through a wide range of regulatory functions every day, including examining firms for compliance with regulatory requirements; providing tools and resources to aid in achieving compliance; conducting ongoing surveillance of trading in the U.S. securities markets for potential misconduct; bringing enforcement actions to address violations of industry rules and regulations; and providing industry-wide utilities such as disclosure and trade reporting facilities.</p> <p>FINRA’s Office of Financial Innovation (OFI) is the central point of coordination for issues related to significant financial innovations by FINRA member firms, particularly new uses of financial technology (FinTech).</p>
Geographical Jurisdiction	United States
Industry Sectors We Regulate	FINRA performs a vital role in the U.S. financial regulatory structure: overseeing securities brokerage firms and individual brokers doing business with the public.
Types of Innovation Services we Offer	<ul style="list-style-type: none"> • Engagement with firms on regtech and supotech solutions • Engagement with innovators and/or other third parties (e.g. academics, consultants and other organizations) • Facilitating hackathons, TechSprints or similar events • Other: Discussions, education, and information on laws and rules that may apply to innovative business models as well as general provisions related to exemptions.
GFIN Cross-Border Testing Participation?	No
Required Criteria for GFIN Cross-Border Testing	N/A
Our Contact Information	<p><u>Email:</u> FinancialInnovation@finra.org</p> <p><u>Contact Persons:</u></p>

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