Every investor in America relies on one thing: fair financial markets. To protect investors and ensure the market's integrity, FINRA FINANCIAL INDUSTRY REGULATORY AUTHORITY is a not-for-profit organization that oversees U.S. broker-dealers. We work every day to ensure that everyone can participate in the market with confidence, and to ensure that

- every investor receives the basic protections they deserve;
- anyone who sells a securities product has been tested, qualified and licensed;
- every securities product advertisement used is truthful, and not misleading;
- any securities product sold to an investor are in the investor's best interest.

We Play a Big Role
FINRA FINANCIAL INDUSTRY REGULATORY AUTHORITY is authorized by Congress to protect America's investors by making sure the broker-dealer industry operates fairly and honestly. We oversee more than 624,000 brokers across the country—and analyze billions of daily market events.

We use innovative AI and machine learning technologies to keep a close eye on the market and provide essential support to investors, regulators, policymakers and other stakeholders.

Updates from the May 2024 Board of Governors Meeting
During its May meeting, the FINRA Board of Governors approved FINRA's 2023 Annual Financial Report and appointed new members to FINRA's Advisory Committees.
FINRA: Our Story

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