
Broker-Dealer Crypto Asset Activities and Best Practices

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The Financial Industry Regulatory Authority (FINRA) recently released an update to its guidance regarding crypto asset activities, which included a non-exhaustive list of potential areas of concern to FINRA.

The publication is based on information collected by FINRA through its ongoing regulatory operations and member firms' responses to prior regulatory notices and a crypto asset questionnaire. We summarize below key areas for consideration and provide recommendations for firms to consider in light of FINRA's evolving regulatory initiatives with respect to crypto asset-related activities of member firms and their associated persons.

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