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8310. Sanctions for Violation of the Rules

Notices
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(a) Imposition of Sanction

After compliance with the [Rule 9000](#) Series, FINRA may impose one or more of the following sanctions on a member or person associated with a member for each violation of the federal securities laws, rules or regulations thereunder, the rules of the Municipal Securities Rulemaking Board, or FINRA rules, or may impose one or more of the following sanctions on a member or person associated with a member for any neglect or refusal to comply with an order, direction, or decision issued under the FINRA rules:

- (1) censure a member or person associated with a member;
- (2) impose a fine upon a member or person associated with a member;
- (3) suspend the membership of a member or suspend the registration of a person associated with a member for a definite period or a period contingent on the performance of a particular act;
- (4) expel a member, cancel the membership of a member, or revoke or cancel the registration of a person associated with a member;
- (5) suspend or bar a member or person associated with a member from association with all members;
- (6) impose a temporary or permanent cease and desist order against a member or a person associated with a member; or
- (7) impose any other fitting sanction.

(b) Assent to Sanction

Each party to a proceeding resulting in a sanction shall be deemed to have assented to the imposition of the sanction unless such party files a written application for appeal, review, or relief pursuant to the [Rule 9000](#) Series.

Amended by SR-FINRA-2008-021 eff. Dec. 15, 2008.
Amended by SR-NASD-98-80 eff. June 23, 2003.
Amended by SR-NASD-97-81 eff. Jan. 16, 1998.
Amended by SR-NASD-97-28 eff. Aug. 7, 1997.
Amended by SR-NASD-95-39 eff. Oct. 10, 1996.
Amended eff. Sept. 1, 1969; July 9, 1984; May 27, 1988; Aug. 16, 1988; Nov. 1, 1991; Apr. 15, 1992.

Selected Notice: [87-22](#), [88-75](#), [91-19](#), [91-52](#), [92-31](#), [96-28](#), [03-35](#), [08-57](#).

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844-574-3577 (Monday to Friday 9-5 ET)

 **Investor Complaint Center**
File a complaint about fraud or unfair practices.

 **Whistleblower Tip-Line**
866-967-FINRA or whistleblower@finra.org

 **Office of the Ombudsman**
Report a concern about FINRA.

 **File a Regulatory Tip**
To report on abuse or fraud in the industry.

 **Contact FINRA**
(301) 590-6500



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Southeast Regional Office Guide

FINRA Dispute Resolution

5200 Town Center Circle

Tower 1, 2nd Floor

Boca Raton, Florida 33486

(561) 416-0277

Fax: (301) 527-4868

[Email](#)

FINRA Dispute Resolution Office Information

Conference and Hearing Rooms

The Florida Office of Dispute Resolution has 4 conference rooms available with the following capacity:

Hearing Rooms	Maximum Capacity
1	12
2	14
3	20
4	20
1R Mediation Room	8

Please check in advance for availability if you will need special equipment like: [videoconferencing](#), speakerphone, telephone extension, dry ink board, easel, TV, VCR, or overhead projector.

Courier/Overnight Services:

Drop box located in building lobby

or

Call for pick-up:

Federal Express: (800) 463-3339

UPS: (800) 742-5877

or

Courier Express, Boca Raton: (561) 483-5894

Duplication of Audio Files: If the hearing was recorded using a digital recorder, parties may request an audio recording of the hearings on CD at no charge. If the hearing was recorded on cassette tapes, FINRA uses the services of G&L Transcription, Inc.—(561) 998-1981—for duplication of tapes. G&L Transcription, Inc., which charges a duplication fee of \$15.00 per tape, will contact you directly in order to make arrangements for payment and delivery of tapes. To order duplication of your audio record, please fax your request in writing to the FINRA Dispute Resolution case administrator handling your case at (301) 527-4868.

Emergency Procedures: In the event of an emergency, please contact a staff member immediately. The staff is familiar with emergency procedures and are ready to assist you. If an emergency occurs after hours and there is no staff available, please contact building security at (561) 251-1107.

To reach a 911 emergency operator, please use any phone and dial 911. Please note there is no prefix number used to reach an outside line; just dial 911.

Faxing: The general office fax number is (301) 527-4868. As a courtesy, visitors may receive faxes free of charge. All incoming faxes must be clearly marked with the visitor's name and the conference room assigned to the hearing. If you are expecting a fax, please notify the receptionist. You may retrieve faxes in the reception area. In order to avoid interruptions to the arbitration or mediation, we will not deliver the faxes to the conference rooms. The cost for sending a fax from our office is \$.50 per page.

Off-Site Copying Service: Printco is located at 1307 West Palmetto Park Road, Boca Raton, FL 33486, (561) 395-0072.

Office Hours: The Florida Dispute Resolution Office hours are 8:00 a.m. to 5:00 p.m., Monday through Friday. After 6:00 p.m., access to the floor will be restricted to those individuals who have security cards. If you will need access to the suite after 6:00 p.m., please contact any of our staff members in advance to arrange for after-hours access.

On-Site Copy Machine: Located to the right of the reception area.

Reception Area: All parties are to remain in the reception area until the commencement of the hearing. All witnesses are to remain in the reception area until a panel member advises otherwise. (Do not knock on the hearing door, you will be called in.)

Storage of Materials: Arrangements must be made with the FINRA Dispute Resolution case administrator to leave any materials overnight in the conference room; however, there are no locks on the conference room doors so FINRA Dispute Resolution assumes no responsibility for loss and or theft of exhibits left overnight. Due to space constraints, please do not ship documents/exhibits to FINRA Dispute Resolution in advance of a hearing. Parties must make arrangements for pick-up or shipment of materials following conclusion of a hearing or dates of hearing. FINRA Dispute Resolution staff will not be responsible for arranging shipment or transfer of documents to another location.

Telephone Usage: Telephones are available for local phone calls in the telephone rooms located to the right of the reception area. To access an outside line dial "9" and the area code and phone number. Long distance calls need to be placed with a calling card through the receptionist.

Transcription Service: To order transcripts from your hearing tapes, please fax your request in writing to the FINRA Dispute

Resolution case administrator handling your case at (301) 527-4868. G&L Transcription Inc. (561) 998-1981 – is our off-site contact for hearing transcripts (\$4.50 per page). G&L Transcription, Inc will contact you directly in order to make arrangements for payment and delivery of transcripts.

Wireless Internet Access: The Southeast Regional Office offers wireless Internet access to visitors. There is no cost to connect to the FINRA Guest Wireless Local Area Network. To use this service, visitors will need a laptop or mobile device that has Wireless Local Area Network capabilities. Also, a Web browser must be installed on the device. Visitors will be required to accept the FINRA Guest Wireless Local Area Network Terms and Conditions. Please be aware that the FINRA service provides unencrypted access to the public Internet. Accordingly, you may wish to use your company's VPN or encryption software for sensitive traffic and/or remote connectivity to your enterprise network.

To obtain access to the FINRA Guest Wireless Local Area Network, please speak with the regional office's receptionist, who will process your request for access and provide you with the necessary credentials to connect to the network, including a user ID and password.

Witness Waiting Area: A witness waiting area is provided.

Hotels (within walking distance of the Florida FINRA Dispute Resolution Regional Office or close by):

Walking Distance:

Marriott Hotel – (561) 392-4600

Short Driving Distance:

Marriott Courtyard Hotel – (561) 241-7070

Renaissance – (561) 368-5252

Wyndham Hotel Boca Raton – (561) 368-5200

Food (within walking distance of the Florida FINRA Dispute Resolution Regional Office):

- ☐ Brio's Tuscan Grill
- ☐ McDonald's
- ☐ Morton's Steakhouse
- ☐ Panera Bread
- ☐ Rocco's Taco
- ☐ Joseph's Market
- ☐ Sushi Ray
- ☐ Uncle Tai's

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[Investor Complaint Center](#)
File a complaint about fraud or unfair practices.



[Whistleblower Tip-Line](#)
866-96-FINRA or whistleblower@finra.org



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To report on abuse or fraud in the industry.



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Federal Court Reporting Program

Federal court reporters record proceedings and produce transcripts of court proceedings.

The Court Reporter Statute, 28 U.S.C. § 753  sets forth the proceedings to be recorded including:

1. all proceedings in criminal cases had in open court;
2. all proceedings in other cases had in open court unless the parties with the approval of the judge shall agree specifically to the contrary; and
3. such other proceedings as a judge of the court may direct or as may be required by rule or order of court as may be requested by any party to the proceeding.

By law, each session of court and every proceeding designated by rule or order of the court or by one of the judges shall be recorded verbatim by shorthand, stenotype, stenomask, or electronic sound recording equipment. The method of recording may be elected by the district judge.

Transcripts

One of the primary responsibilities of the court reporter is to provide a written transcript of court proceedings upon the request of a party or order of court. Written transcripts are prepared within the Judicial Conference's guidelines on page format, page rates, and delivery schedules. The transcripts of proceedings recorded by electronic sound recording equipment are produced by private transcription services designated by the court to transcribe federal court proceedings.

The court reporters and transcribers may charge and collect fees for transcripts requested by the parties, including the United States. The fee schedule should be posted prominently in the district court clerk's office or available on a court's web site. When a transcript is ordered, the first party to order it pays the original transcript rate, and subsequent requesters pay a copy rate (see [Maximum Transcript Rates](#)). When a court reporter or transcriber delivers the original transcript to the ordering party, the court reporter or transcriber is also required to file a certified electronic copy to the clerk of court.

The Judicial Conference has made it explicit that official court reporters may charge only copy fees for transcripts provided to parties when the original transcript was produced at the request of a judge.

The Judicial Conference approved a policy regarding the availability of transcripts of court proceedings filed with the clerk of court in electronic format. A transcript provided to a court by a court reporter or transcriber will be available at the office of the clerk of court for inspection only, for a period of 90 days (unless extended by the court) after it is delivered to the clerk. During the 90-day period:

- a copy of the transcript may be obtained from the court reporter or transcriber at the rate established by the Judicial Conference;
- the transcript will be available within the court for internal use; and
- an attorney who obtains the transcript from the court reporter or transcriber may obtain remote electronic access to the transcript through the court's Case Management/ Electronic Case Files (CM/ECF) system for purposes of creating hyperlinks to the transcript in court filings and for other purposes.

During the 90-day period (which may be extended by the court), access to the transcript in CM/ECF is restricted to court staff, public terminal users, attorneys of record or parties who have purchased the transcript from the court reporter/transcriber, and other persons as directed by the court (e.g., appellate attorneys). Also, during this time, parties may redact personal identifiers. After the 90-day period has ended, the filed transcript will be available for inspection and copying in the clerk's office and for download from the court's CM/ECF system through the judiciary's PACER system.

Contract Court Reporter Services

Under the Court Reporter Statute, the district courts may contract for court reporting services when necessary. Contract court reporters should be administered an oath for recording court proceedings.

Maximum Transcript Rates*

TRANSCRIPTS	ORIGINAL	FIRST COPY TO EACH PARTY	EACH ADDITIONAL COPY TO THE SAME PARTY
Ordinary Transcript (30 day) A transcript to be delivered within thirty (30) calendar days after receipt of an order.	\$3.65	\$.90	\$.60

14-Day Transcript A transcript to be delivered within fourteen (14) calendar days after receipt of an order.	\$4.25	\$.90	\$.60
Expedited Transcript (7 day) A transcript to be delivered within seven (7) calendar days after receipt of an order.	\$4.85	\$.90	\$.60
Daily Transcript A transcript to be delivered following adjournment and prior to the normal opening hour of the court on the following morning whether or not it actually is a court day.	\$6.05	\$1.20	\$.90
Hourly Transcript A transcript of proceedings ordered under unusual circumstances to be delivered within two (2) hours.	\$7.25	\$1.20	\$.90
Realtime Transcript A draft unedited transcript produced by a certified realtime reporter as a byproduct of realtime to be delivered electronically during proceedings or immediately following adjournment.	One feed, ¹ \$3.05 per page; two to four feeds, \$2.10 per page; five or more feeds, \$1.50 per page.		

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*Each court may adopt a schedule of transcript fee rates subject to the maximum rates established by the Judicial Conference.

¹A realtime "feed" is the electronic data flow from the court reporter to the computer of each person or party ordering and receiving the realtime transcription in the courtroom.

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Learn about how a court reporter supports the judiciary.

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Court Reporting Guidance

This guidance addresses the use of court reporting and electronic sound recording methods in keeping the record in the federal courts.





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