

# FINRA Communications and Recordkeeping Audit-Readiness Checklist

Stay ahead of your next FINRA exam with this practical checklist covering Rules 2210 and 4511.

## Communications Oversight - Rule 2210

- Retail communications are approved in writing by a registered principal before use.
- Required communications are filed with FINRA within 10 business days of first use.
- All communications are fair, balanced, and not misleading.
- Performance claims include necessary disclosures and limitations.
- Communications are properly classified (retail, institutional, or correspondence).

## Communications Compliance - Rule 4511

- All business communications are retained for at least 3 years.
- Records are preserved in a WORM-compliant format (non-erasable, non-rewritable).
- First 2 years of records are accessible immediately upon request.
- Retention system covers all digital formats: email, text, chat, social.
- Records include time-stamped logs of who approved and when.

## Production and Supervision

- Instant retrieval of records by user, date, or channel.
- No dependency on IT for exports or data queries.
- Reporting includes full audit trail with time-stamped actions.
- Supervisory procedures are documented and up to date.
- Exportable reports are available without added fees or delays.

Archive Intel simplifies FINRA and SEC compliance with AI-powered solutions that capture, review, and retain cross-channel client communications, helping regulated firms stay exam-ready.