

Title: I'm not going to standby why some broker violates my right to an expedited transfer of assets (aka Fidelity delaying my DRS). Delaying a legitimate transfer request is a violation of FINRA rules (see Rule #11870. Customer Account Transfer Contracts)

Author: fed\_smoker69420

Created 2022-07-14 23:31:18 UTC

Permalink: /r/GME/comments/vz9ow7/im\_not\_going\_to\_standby\_why\_some\_broker\_violates/

Url: <https://i.redd.it/kida89g4cmb91.png>

FINRA

### Submission Confirmed

Your complaint has been sent for review. Please keep the confirmation number for your records.

Your concerns are important to us, and we are reviewing the information you provided. If needed, we may contact you to obtain additional details or documentation. FINRA evaluates issues like yours with the goal of protecting investors and maintaining the integrity of the markets. Our job is to determine whether brokerage firms and the people who work for them are complying with securities laws and regulations, as well as with FINRA rules.

What happens next? If a determination is made to initiate an investigation, FINRA may contact you to obtain further information or documentation about your complaint. If FINRA determines that a violation has occurred, we can take formal disciplinary actions—imposing sanctions such as fines, suspensions, or bars, or make those actions public on FINRA's website at <http://www.finra.org/industry/Seca-disciplinary-actions-releases>.

FINRA can also take informal disciplinary actions that are not publicly available, such as issuing written warnings. In certain cases, we will refer investor concerns to other federal or state enforcement agencies for review. Because FINRA treats investors of this nature as confidential, we may not be able to provide you with certain details about the status or results of your issue.

Please understand that we are not representing you individually in this matter. There is no assurance that any action will result in the return of funds or securities to you. If you feel you are entitled to monetary or other relief, you may wish to pursue a separate process independent of FINRA's review of your concern—arbitration or mediation. For more information, see the Arbitration and Mediation area of the FINRA website at <http://www.finra.org/arbitration-and-mediation>.

Confirmation No: [REDACTED]

Rate Your Experience



[BACK TO FINRA](#)