

Title: Did this fly under the radar? Finra issues UBS (2) AWC's (Get out of jail free cards) on 10/3/22. Reg SHO violations, FTD violations, among others. Guess when... Pays \$2.5M & \$520K "respectively".

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Permalink: /r/TheGloryHodl/comments/xvo2ue/did_this_fly_under_the_radar_finra_issues_ubs_2/

Url: /r/Superstonk/comments/xva0b7/did_this_fly_under_the_radar_finra_issues_ubs_2/

Linked Post Content:

Here's some sauce

Location: https://www.finra.org/rules-guidance/oversight-enforcement/finra-disciplinary-actions?search=UBS%20Securities%20LLC&firms;=&individuals;=&field;_fda_case_id_txt=&field;_core_official_dt%5Bmin%5D=&field;_core_official_dt%5Bmax%5D=&field;_fda_document_type_tax=All&token;=nFDRKuG2VBehKZksQo_-TkicHTSQjANJITn42U-SeM

Overview from each and cost of crime.

AWC 1

[https://www.finra.org/sites/default/files/fda_documents/2016050211701%20UBS%20Securities%20LLC%20CRD%207654%20AWC%20Final%20geg.pdf](https://preview.redd.it/ne2jmv37rr91.png?width=1342&format;=png&auto;=webp&s;=7330d9dc163c46139524f7571cf921ec8470ddcc)

Cost of crime:

https://preview.redd.it/l3u4tv4n7rr91.png?width=1052&format;=png&auto;=webp&s;=66e334b643709df6d96a5cd0acdecaae5d0f642f

AWC 2

[https://www.finra.org/sites/default/files/fda_documents/2017053779201%20UBS%20Securities%20LLC%20CRD%207654%20AWC%20geg.pdf](https://preview.redd.it/py194vy37rr91.png?width=1642&format;=png&auto;=webp&s;=18cc3223bf639dd3499b7fac0d16014af64e273e)

Cost of Crime:

https://preview.redd.it/6ne0rtms7rr91.png?width=1684&format;=png&auto;=webp&s;=61b602ff8a2c90369dfe1dc3d4f6ccd6d0565e21

TL;DR - Title of post & apparently now FINRA owes us money.