

Editor's Introduction to Securities Arbitration Desk Reference, 2026–2027 Edition by Seth E. Lipner, Joseph C. Long, and William A. Jacobson

Securities Arbitration Desk Reference is the only compilation of its kind that provides all the essential information governing securities arbitration proceedings. Written by distinguished law professors who draw upon decades of experience in representing persons in securities arbitrations, this title includes:

- Up-to-date revisions of all Arbitration Rules and FINRA Broker Conduct Rules
- Analysis of changes to “Simplified Arbitration” and to FINRA’s Expungement proceedings
- In-depth analysis of revisions to Suitability Rule, Public Communications Rule and Supervision Rules
- The complete text of each statute and rule is followed by expert commentary, practical suggestions, and references to interpretive materials and caselaw.

Highlights of the 2026–2027 Edition include:

- In 2019, FINRA completed its 5-year “revision/migration” of the NASD (Ch. 9) and NYSE Rules (Ch. 11) into the Consolidated FINRA rules (Ch. 10). This edition covers the end of that process.
- Coverage of the amendments to the FINRA Code of Arbitration Procedure for Customer Disputes.
- Coverage of the reconfigured FINRA licensing rules and processes.
- Updated state-by-state recitation of the Blue Sky civil liability statutes.
- Updated state-by-state recitation of the securities statutes of limitations.
- Updated state-by-state certified interest rate tables.