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## **FINRA Dings Wedbush Securities for Compliance Issues Involving Margin Accounts, Bond Mark-Ups.**

**Wedbush Securities has 500 registered reps in 70 branch offices.**

FINRA on Friday penalized Wedbush Securities of Los Angeles \$150,000 for various compliance and supervision shortcomings related to clients' margin securities, as well as failing to disclose mark-ups and mark-downs of certain bond transactions.

Wedbush Securities has 500 registered reps in 70 branch offices. The firm has had a history of failing to supervise certain trades that resulted in scrutiny from regulators and penalties, along with other compliance problems.

FINRA in 2022 fined Wedbush Securities \$900,000 for trading violations called "failed-to-deliver positions," which occur when a seller fails to deliver securities to the buyer when delivery is due.

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