



Connie Lawson  
Indiana Secretary of State

# Secretary of State State of Indiana

Alex Glass  
Securities Commissioner

## COMPLIANCE ALERT

**TO:** All Broker-Dealers, Investment Advisers, Registered Agents and Investment Adviser Representatives  
**FROM:** Alex Glass, Securities Commissioner  
**DATE:** October 7, 2020  
**RE:** Phishing Campaign Advisory – Phishing Email Campaign Impersonating FINRA Seeking Survey Responses

The Indiana Secretary of State, Securities Division (“Division”) and Securities Commissioner (“Commissioner”) are issuing this compliance alert to notify registrants of an email phishing campaign targeting broker-dealers, investment advisers, and employees which falsely claims that it is sent by the Financial Industry Regulatory Authority (“FINRA”) and requests that member firms complete a survey by accessing a link contained within the body of the email.

The email uses the domain “@regulation-finra.org.” This is not a FINRA domain.

**Accordingly, registrants should not open any emails or any email attachments originating from this domain.**

Additional information is available in FINRA’s Regulatory Notice 20-35, concerning the phishing campaign, which is available at the following link: <https://www.finra.org/rules-guidance/notices/20-35>.

It is important to remain diligent and be cautious when reviewing e-mails and attachments. Firms and individuals should reduce risk of data breaches by ensuring that appropriate cybersecurity measures are in place.

Other questions regarding this alert may be directed to [securities@sos.in.gov](mailto:securities@sos.in.gov).