



# Secretary of State State of Indiana

Connie Lawson  
Indiana Secretary of State

Alex Glass  
Securities Commissioner

## COMPLIANCE ALERT

**TO:** All Broker-Dealers, Investment Advisers, Registered Agents and Investment Adviser Representatives  
**FROM:** Alex Glass, Securities Commissioner  
**DATE:** May 5, 2020  
**RE:** Phishing Campaign Advisory – Email Impersonating FINRA Executives

The Indiana Secretary of State, Securities Division (“Division”) and Securities Commissioner (“Commissioner”) are issuing this compliance alert to notify registrants of a phishing campaign targeting broker-dealers, investment advisers, and employees which falsely claims that it is sent by executives from the Financial Industry Regulatory Authority (“FINRA”) and contains information concerning the targeted firm. In some instances, the email includes an attachment that recipients are directed to open.

The email uses the domain “@broker-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 20-12: FINRA Warns of Fraudulent Phishing Emails Purporting to be from FINRA, which is available at the following link: <https://www.finra.org/rules-guidance/notices/20-12>.

With the increased online activity during these unprecedented times, similar phishing campaigns may increase in frequency. 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).