



CONSTELLATION
ADVISERS, LLC

REGULATORY NOTICE: 20-09

Once again, hackers are using fake FINRA email addresses to phish registrants. Below is a summary of the FINRA Regulatory Notice on this subject (full text available [here](#)) and an actual phishing email.

Summary of FINRA Alert

In its alert, FINRA warns of a widespread, ongoing phishing campaign that involves fraudulent emails asking firms to complete a survey. The emails are sent from the domain “@regulation-finra.org” and preceded by “info” followed by a number, e.g., info5 @regulation-finra.org. FINRA states that the domain of “@regulation-finra.org” is not connected to FINRA.

If you received this email, you should follow your firm’s cybersecurity protocols, including notifying your information technology department and/or service provider. Do not click on any links or attachments in the email.

Actual Phishing Email Purportedly from FINRA

From: INFO - <info4 @regulation-finra.org>

Sent: Tuesday, October 6, 2020 10:18 AM

To: [Client]

Subject:

[Client],

FINRA has been directed to update its conduct and supervisory rules on firms that we regulate.

We require you to complete the above survey form in full by Tuesday 13 October 2020.

This survey is designed so that it is quick and simple to complete. Please ensure that you complete the questions where the relevant information is available.

FINRA is committed to protecting the integrity and confidentiality of the data and systems. If you have any questions when completing the survey, please reply to this email for immediate assistance.

ATTN: [FIRM NAME]

Thank you,

FINRA Regulation Department

TAKE ACTION!

Takeaways - Clients Should:

- Be vigilant and cautious when receiving unexpected emails, even if they appear to be from a regulator.
- Consider performing cybersecurity testing to verify proper functioning.^[1]

[1] In this Client Alert, Constellation is providing its observations, advice, and recommendations. Constellation did not and does not provide legal advice regarding its services nor did it or does it provide any assurance regarding the outcome of any future audit or regulatory examination or other regulatory action. It is further understood that recipients of this Client Alert have responsibility for, among other things, identifying and confirming compliance with laws and regulations applicable to their activities, and for establishing and maintaining effective internal controls to confirm such compliance.

Please contact a member of Constellation's compliance team for assistance with any regulatory and compliance needs at compliance@constellationadvisers.com.

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