

Susan Light Discusses GameStop Trader Violations With *The Wall Street Journal*

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Financial Markets and Funds partner Susan Light spoke with *The Wall Street Journal* regarding potential enforcement actions against any registered representative who was involved with recent run up in touting and buying stocks such as GameStop on social media. A registered representative would be subject to Financial Industry Regulatory Authority (FINRA) regulations, which includes communication with the public on social media that could be misleading. Sue noted that using a pseudonym would not absolve a broker of regulatory obligations. She stated, "An average Joe can go on a website and say, 'I like XYZ stock.' A broker can't do that. It would make sense for FINRA to be interested in looking at this." (["GameStop Trader 'Roaring Kitty' and Former Employer May Face Federal Regulatory Scrutiny,"](#) February 5, 2021)

CONTACTS

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