



# Newsletter

September 2025

## From Policy to Testing — We've Got You Covered Compliance Matters

### Real-World Costs of Skipping Fingerprinting



Barclays was fined \$1.25 million in August 2024 for fingerprinting failures that affected over 2,300 employees. The core violation was Barclays' failure to fingerprint and conduct the necessary background checks on numerous "non-registered associated persons," which include individuals who, despite not being licensed, have significant access to sensitive financial information or operations within the firm. FINRA imposes a \$950,000 fine on SG Americas Securities for deficiencies in fingerprinting procedures. Federal securities laws require that FINRA member firms fingerprint most associated persons before or upon association with a firm. The firms review the fingerprint results as part of their background check to determine, among other things, whether a prospective associated person has previously engaged in misconduct that subjects that person to a statutory disqualification.

**Why It Matters:** Non-compliance can result in substantial fines and reputational damage.

### Local Spotlight

Serving Stevensville and the Maryland Eastern Shore. Abay Services keeps businesses compliant and secure.



### The Danger of Skipping Drug Testing

A Detroit facility recalled one hundred workers, and every single one failed pre-employment drug testing for marijuana.

Medical marijuana cards do not automatically protect employees from drug testing in Maryland, and you can still get fired for failing a drug test even with one. Under state law, employers can enforce zero-tolerance drug-free workplace policies, test employees for cannabis use, and take disciplinary action against employees who fail drug tests.

Federal law requires DOT-compliant testing programs. In May 2025, a federal court reaffirmed that DOT rules override conflicting state laws.

### Workplace Drug-Free Policy

Abay Services helps businesses build and maintain Workplace Drug-Free Policies and training. These policies reduce liability, promote safety, and prepare employers for audits and inspections.

### Call-to-Action

📌 Book your fingerprinting and drug testing services today with Abay Services.



### Credible Sources

Barclays fined \$1.25M for fingerprinting lapses – [investmentnews.com](https://www.investmentnews.com)  
SG Americas pays \$950K for fingerprinting failures – [fxnewsgroup.com](https://www.fxnewsgroup.com)  
Detroit factory: 100 workers failed drug tests – [bridgemi.com](https://www.bridgemi.com)  
Medical Marijuana Card and drug test – [marylandstatecannabis.org](https://www.marylandstatecannabis.org)  
Federal court reaffirms DOT preemption – [natlawreview.com](https://www.natlawreview.com)