



Compliance Outreach Program

for Broker-Dealers

Washington, DC

July 14, 2015

Resource List

Panel 1: Cybersecurity

SEC, National Examination Program (NEP) Risk Alert, Cybersecurity Examination Sweep Summary (February 3, 2015)

<http://www.sec.gov/about/offices/ocie/cybersecurity-examination-sweep-summary.pdf>

SEC, Division of Investment Management, Guidance Update – Cybersecurity Guidance (April 2015)

<http://www.sec.gov/investment/im-guidance-2015-02.pdf>

FINRA, Report on Cybersecurity Practices (February 2015)

<https://www.finra.org/web/groups/industry/%40ip/%40reg/%40guide/documents/industry/p602363.pdf>

FINRA, Information Notice, Distributed Denial of Service (DDoS) Attacks on Member Firms (June 19, 2015)

<http://www.finra.org/industry/information-notice-061915>

Department of Justice, Cybersecurity Unit, Computer Crime & Intellectual Property Section, Criminal Division, Best Practices for Victim Response and Reporting of Cyber Incidents (April 2015)

<http://www.justice.gov/sites/default/files/criminal-ccips/legacy/2015/04/30/04272015reporting-cyber-incidents-final.pdf>

Department of Homeland Security, About the Critical Infrastructure Cyber Community C³ Voluntary Program (last published date: June 17, 2015)

<http://www.dhs.gov/about-critical-infrastructure-cyber-community-c%C2%B3-voluntary-program>

The National Institute of Standards and Technology (NIST), Cybersecurity Framework

<http://www.nist.gov/cyberframework/>

Financial Services Information Sharing and Analysis Center (FS-ISAC)

<https://www.fsisac.com/>

Panel 2: Anti-Money Laundering

SEC, NEP Risk Alert, Broker-Dealer Controls Regarding Customer Sales of Microcap Securities (October 9, 2014)

<http://www.sec.gov/about/offices/ocie/broker-dealer-controls-microcap-securities.pdf>

SEC, NEP Risk Alert, Master/Sub-accounts (September 29, 2011)

<http://www.sec.gov/about/offices/ocie/riskalert-mastersubaccounts.pdf>

SEC Press Release, SEC Charges Oppenheimer With Securities Law Violations Related to Improper Penny Stock Sales (January 27, 2015)

<http://www.sec.gov/news/pressrelease/2015-14.html>



SEC Press Release, SEC Charges Current and Former E*TRADE Subsidiaries With Improperly Selling Penny Stocks Through Unregistered Offerings (October 9, 2014)

<http://www.sec.gov/News/PressRelease/Detail/PressRelease/1370543133526>

SEC, Division of Trading & Markets, Responses to Frequently Asked Questions about a Broker-Dealer's Duties When Relying on the Securities Act Section 4(a)(4) Exemption to Executive Customer Orders (October 9, 2014)

<http://www.sec.gov/divisions/marketreg/faq-broker-dealer-duty-section4.htm>

SEC, Remarks at SIFMA's 2015 Anti-Money Laundering & Financial Crimes Conference by Andrew Ceresney, Director, Division of Enforcement (February 25, 2015)

<http://www.sec.gov/news/speech/022515-spchc.html>

SEC, Anti-Money Laundering: An Often-Overlooked Cornerstone of Effective Compliance by Kevin Goodman, National Associate Director, Broker-Dealer Examination Program, Office of Compliance Inspections and Examinations (OCIE) (June 18, 2015)

<http://www.sec.gov/news/speech/anti-money-laundering-an-often-overlooked-cornerstone.html>

FINRA Press Release, FINRA Fines Brown Brothers Harriman A Record \$8 Million for Substantial Anti-Money Laundering Compliance Failures (February 5, 2014)

<https://www.finra.org/newsroom/2014/finra-fines-brown-brothers-harriman-record-8-million-substantial-anti-money-laundering>

FINRA Press Release, FINRA Sanctions Oppenheimer & Co. \$3.75 Million for Supervisory Failures (March 26, 2015)

<https://www.finra.org/newsroom/2015/finra-sanctions-oppenheimer-co-375-million-supervisory-failures>

Department of the Treasury, Financial Crimes Enforcement Network (FinCEN), Customer Due Diligence Requirements for Financial Institutions, Notice of Proposed Rulemaking (July 23, 2014)

http://fincen.gov/statutes_reqs/files/CDD-NPRM-Final.pdf

FinCEN SAR Electronic Filing Requirements

<http://bsaeiling.fincen.treas.gov/docs/FinCENSARElectronicFilingRequirements.pdf>

FinCEN Press Release, FinCEN Fines Oppenheimer & Co. Inc. \$20 Million for Continued Anti-Money Laundering Shortfalls (January 26, 2015)

http://www.fincen.gov/news_room/nr/pdf/20150127.pdf

Panel 3: Firm and Branch Supervision and Sales Practices

SEC Press Release, SEC Staff and FINRA Issue Report on National Senior Investor Initiative (April 15, 2015)

<http://www.sec.gov/news/pressrelease/2015-67.html>

SEC, NEP Risk Alert, Retirement-Targeted Industry Reviews and Examinations Initiative (June 22, 2015)

<http://www.sec.gov/about/offices/ocie/retirement-targeted-industry-reviews-and-examinations-initiative.pdf>

SEC Press Release, SEC and FINRA Issue Risk Alert on Broker-Dealer Branch Office Inspections (November 30, 2011)

<http://www.sec.gov/news/press/2011/2011-250.htm>



SEC, Investor Publications, SEC Center for Complaints and Enforcement Tips

<http://www.sec.gov/complaint.shtml>

SEC, Final Rule: Books and Records Requirements for Brokers and Dealers Under the Securities Exchange Act of 1934, SEC Release No. 34-44992 (October 26, 2001)

<https://www.sec.gov/rules/final/34-44992.htm>

SEC, Office of Investor Education and Advocacy

<http://investor.gov/>

NASD Rule 3010 – Supervision (to be superseded by FINRA Rules 3110 and 3170)

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=16099&element_id=11763&highlight=3010#r16099

NASD Rule 3040 – Private Securities Transactions of an Associated Person

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=4405&element_id=3727&highlight=3040#r4405

FINRA Rule 2111 – Suitability

http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=9859

FINRA Rule 3110 – Supervision (to become effective on July 31, 2015)

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=16210&element_id=11345&highlight=3110#r16210

FINRA Rule 3120 – Supervisory Control System

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=15447&element_id=11346&highlight=3120#r15447

FINRA Rule 3170 – Tape Recording of Registered Persons by Certain Firms

http://finra.complinet.com/en/display/display.html?rbid=2403&element_id=11348

FINRA Rule 3270 – Outside Business Activities of Registered Persons

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=12945&element_id=9467&highlight=3270#r12945

FINRA Rule 4530 – Reporting Requirements

http://finra.complinet.com/en/display/display.html?rbid=2403&record_id=16260&element_id=9819&highlight=4530#r16260

FINRA Securities Helpline for Seniors – HELPS™

<http://www.finra.org/investors/finra-securities-helpline-seniors>

FINRA Regulatory Notice 11-52 Senior Designations

<http://www.finra.org/sites/default/files/NoticeDocument/p125092.pdf>

FINRA, Brokerage and Individual Retirement Account Fees, Regulatory Notice 13-23 (July 2013)

<http://www.finra.org/sites/default/files/NoticeDocument/p304670.pdf>

FINRA, Rollovers to Individual Retirement Accounts, Regulatory Notice 13-45 (December 2013)

<http://www.finra.org/sites/default/files/NoticeDocument/p418695.pdf>



FINRA Notice to Members 94-44, Board Approves Clarification On Applicability Of Article III, Section 40 Of Rules Of Fair Practice To Investment Advisory Activities Of Registered (May 1994) (Clarification of the applicability of Article III, Section 40 of the NASD Rules of Fair Practice to investment advisory activities of registered representatives (RRs) who also are investment advisers (RR/IAs).
http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=1489

FINRA Notice to Members 96-33, NASD Clarifies Rules Governing RR/IAs (May 1996) (Answers to Frequently Asked Questions Concerning the Application of Article III, Section 40 to Investment Advisory Activities) <http://www.finra.org/sites/default/files/NoticeDocument/p013792.pdf>