



National Compliance Outreach Program for Broker-Dealers

**Chicago, IL
June 27, 2019**

[Resource List](#)

Panel 1: Insights from SEC and FINRA Leadership

- SEC 2019 Examination Priorities
<https://www.sec.gov/files/OCIE%202019%20Priorities.pdf>
- FINRA 2019 Risk Monitoring and Examination Priorities Letter
https://www.finra.org/sites/default/files/2019_Risk_Monitoring_and_Examination_Priorities_Letter.pdf

Panel 2: Protecting the Retail Investor

- SEC, Director of the Office of Compliance Inspections and Examinations (“OCIE”), Peter Driscoll: How We Protect Retail Investors (April 29, 2019)
<https://www.sec.gov/news/speech/speech-driscoll-042919>
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Retirement-Targeted Industry Reviews and Examinations Initiative (June 22, 2015)
www.sec.gov/about/offices/ocie/retirement-targeted-industry-reviews-and-examinations-initiative.pdf
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Broker-Dealer Controls Regarding Customer Sales of Microcap Securities (October 9, 2014)
<https://www.sec.gov/about/offices/ocie/broker-dealer-controls-microcap-securities.pdf>
- SEC, Office of Compliance Inspections and Examination Risk Alert: Strengthening Practices for the Underwriting of Municipal Securities (March 19, 2012)
<https://www.sec.gov/about/offices/ocie/riskalert-munitediligence.pdf>
- SEC, Office of Compliance Inspections and Examination Risk Alert: Broker-Dealer Branch Inspections (November 30, 2011)
<https://www.sec.gov/about/offices/ocie/riskalert-bdbranchinspections.pdf>
- SEC, Division of Investment Management Guidance Update – Inadvertent Custody: Advisory Contract versus Custodial Contract (February, 2017)
<https://www.sec.gov/investment/im-guidance-2017-01.pdf>
- SEC’s Investor.gov, Guide for Seniors: Protect Yourself Against Investment Fraud
<https://www.investor.gov/additional-resources/general-resources/publications-research/publications/guide-seniors-protect>
- SEC’s Investor.gov, Investor Bulletin and Consumer Advisory: Planning for Diminished Capacity and Illness (June 1, 2015)

<https://investor.gov/additional-resources/news-alerts/alerts-bulletins/investor-bulletin-consumer-advisory-planning>

- SEC's Investor.gov, Senior Specialists Designations
<https://www.investor.gov/introduction-investing/retirement/senior-specialists-designations>
- SEC.gov Senior Investor Resources
<https://www.sec.gov/divisions/marketreg/seniorinvestors.htm>
- SEC, Spotlight on Fixed Income Market Structure Advisory Committee (FIMSAC)
<https://www.sec.gov/spotlight/fixed-income-advisory-committee>
- Protecting Senior Investors: Compliance, Supervisory and Other Practices Used By Financial Services Firms in Serving Senior Investors (Securities and Exchange Commission's Office of Compliance Inspections and Examinations, North American Securities Administrators Association, and Financial Industry Regulatory Authority) (September 22, 2008)
www.sec.gov/spotlight/seniors/seniorspracticesreport092208.pdf
- FINRA Conflicts of Interest Review – Compensation and Oversight (August, 2015)
www.finra.org/industry/conflicts-interest-review-compensation-and-oversight
- FINRA Launches Toll-Free FINRA Securities Helpline for Seniors
www.finra.org/newsroom/2015/finra-launches-toll-free-finra-securities-helpline-seniors
- FINRA Regulatory Notice 15-37, Financial Exploitation of Seniors and Other Vulnerable Adults, Request for Comment on Rule Proposal (October, 2015)
www.finra.org/sites/default/files/notice_doc_file_ref/Regulatory-Notice-15-37.pdf
- FINRA Regulatory Notice 11-52, Senior Designations, FINRA Reminds Firms of Their Obligations Regarding the Supervision of Registered Persons Using Senior Designations (November, 2011)
www.finra.org/sites/default/files/NoticeDocument/p125092.pdf
- FINRA Regulatory Notice 07-43, Senior Investors: FINRA Reminds Firms of Their Obligations Relating to Senior Investors and Highlights Industry Practices to Serve these Customers (September, 2007)
www.finra.org/sites/default/files/NoticeDocument/p036816.pdf
- FINRA's Report on the Securities Helpline for Seniors (December, 2015)
www.finra.org/sites/default/files/Securities_Helpline_for_Seniors_Report.pdf
- FINRA's Report on Conflicts of Interest (October, 2013)
<http://www.finra.org/sites/default/files/Industry/p359971.pdf>
- National Senior Investor Initiative
www.finra.org/sites/default/files/SEC%20National%20Senior%20Investor%20Initiative.pdf

Panel 3: Compliance Hot Topics: Digital Assets and Cybersecurity

- SEC, Office of Compliance Inspections and Examinations Risk Alert: Safeguarding Customer Records and Information in Network Storage – Use of Third Party Security Features (May 23, 2019)
<https://www.sec.gov/files/OCIE%20Risk%20Alert%20-%20Network%20Storage.pdf>
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Investment Adviser and Broker-Dealer Compliance Issues Related to Regulation S-P – Privacy Notices and Safeguard Policies (April 16, 2019)
<https://www.sec.gov/files/OCIE%20Risk%20Alert%20-%20Regulation%20S-P.pdf>
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Observations from Cybersecurity Examinations (August 7, 2017)
<https://www.sec.gov/files/observations-from-cybersecurity-examinations.pdf>
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Cybersecurity: Ransomware Alert (May 17, 2017)
<https://www.sec.gov/files/risk-alert-cybersecurity-ransomware-alert.pdf>
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Cybersecurity Examination Initiative (September 15, 2015)
<https://www.sec.gov/ocie/announcement/ocie-2015-cybersecurity-examination-initiative.pdf>
- SEC, Office of Compliance Inspections and Examinations Risk Alert: Cybersecurity Examination Sweep Summary (February 3, 2015)
<http://www.sec.gov/about/offices/ocie/cybersecurity-examination-sweep-summary.pdf>
- SEC’s Strategic Hub for Innovation and Financial Technology “FinHub”
<https://www.sec.gov/finhub>
- SEC, Division of Investment Management, Guidance Update – Cybersecurity Guidance (April, 2015) <http://www.sec.gov/investment/im-guidance-2015-02.pdf>
- SEC’s FinHub Framework for “Investment Contract” Analysis of Digital Assets
<https://www.sec.gov/corpfin/framework-investment-contract-analysis-digital-assets>
- SEC.gov Resources for Regulation S-P and S-AM
<https://www.sec.gov/divisions/marketreg/regsp/am.htm>
- FINRA, Information Notice, Distributed Denial of Service (DDoS) Attacks on Member Firms (June 19, 2015) <http://www.finra.org/industry/information-notice-061915>
- FINRA, Investor Alerts
www.finra.org/investors/alerts/cybersecurity-and-your-brokerage-firm
- FINRA, Report on Cybersecurity Practices (February 2015)
<https://www.finra.org/web/groups/industry/%40ip/%40reg/%40guide/documents/industry/p602363.pdf>

- FINRA, Small Firm Cyber Checklist (June 2016)
http://www.finra.org/industry/cybersecurity?utm_source=MM&utm_medium=email&utm_campaign=Weekly_Update_060116_FINAL
- 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>
- 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>
- The National Institute of Standards and Technology (NIST), Cybersecurity Framework
<http://www.nist.gov/cyberframework/>
- OICU-IOSCO, Guidance on Cyber Resilience of Financial Market Infrastructures (June 2016)
<http://www.bis.org/cpmi/publ/d146.pdf>