
SEC's OCIE Publishes Cybersecurity and Resiliency Observations

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On January 27, the Securities and Exchange Commission's ("SEC") Office of Compliance Inspections and Examinations ("OCIE") published a report on its observations of cybersecurity and resiliency practices in securities and financial markets. Developed through its examinations of thousands of broker-dealers, investment advisors, clearing agencies, national securities exchanges, and other SEC registrants, the OCIE's observations laid out its views on industry best practices and focused its attention on challenges and risks.

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