
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.

Attorneys

- Bradley J. Bondi
- Brockton B. Bosson
- David R. Owen
- Jason Yeoun