



National Compliance Outreach Program

for Broker-Dealers

Washington, DC

July 27, 2017

Resource List

Panel 1: Insights from SEC and FINRA Leadership

- SEC 2017 Examination Priorities
<https://www.sec.gov/about/offices/ocie/national-examination-program-priorities-2017.pdf>
- FINRA 2017 Regulatory and Examination Priorities Letter
<http://www.finra.org/industry/2017-regulatory-and-examination-priorities-letter>

Panel 2: Regulatory Hot Topics

- SEC AML Source Tool for Broker-Dealers
<https://www.sec.gov/about/offices/ocie/amlsourcetool.htm>
- SEC Division of Investment Management Guidance Update – Inadvertent Custody: Advisory Contract versus Custodial Contract
<https://www.sec.gov/investment/im-guidance-2017-01.pdf>
- SEC Office of Compliance Inspections and Examinations Risk Alert - Broker-Dealer Controls Regarding Customer Sales of Microcap Securities
<https://www.sec.gov/about/offices/ocie/broker-dealer-controls-microcap-securities.pdf>
- FINRA Anti-Money Laundering Template for Small Firms
<http://www.finra.org/industry/anti-money-laundering-template-small-firms>
- FINRA Conflicts of Interest Review – Compensation and Oversight (August 2015)
www.finra.org/industry/conflicts-interest-review-compensation-and-oversight
- FINRA’s Report on Conflicts of Interest (October 2013)
<http://www.finra.org/sites/default/files/Industry/p359971.pdf>
- FinCEN Customer Due Diligence Requirements for Financial Institutions
<https://www.fincen.gov/resources/statutes-regulations/federal-register-notices/customer-due-diligence-requirements>
- FinCEN FAQs Regarding Customer Due Diligence Requirements for Financial Institutions.
<https://www.fincen.gov/resources/statutes-regulations/guidance/frequently-asked-questions-regarding-customer-due-diligence>

Panel 3: Senior Investors

- SEC, Office of Compliance Inspections and Examinations (“OCIE”) 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'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>
- 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 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 Launches Toll-Free FINRA Securities Helpline for Seniors
www.finra.org/newsroom/2015/finra-launches-toll-free-finra-securities-helpline-seniors
- FINRA Report on the Securities Helpline for Seniors
www.finra.org/sites/default/files/Securities_Helpline_for_Seniors_Report.pdf
- National Senior Investor Initiative
www.finra.org/sites/default/files/SEC%20National%20Senior%20Investor%20Initiative.pdf

Panel 4: Cybersecurity

- SEC, National Examination Program (NEP) Risk Alert, Cybersecurity Examination Initiative (September 15, 2015)
<https://www.sec.gov/ocie/announcement/ocie-2015-cybersecurity-examination-initiative.pdf>
- 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, Small Firm Cyber Checklist (June 2016) http://www.finra.org/industry/cybersecurity?utm_source=MM&utm_medium=email&utm_campaign=Weekly_Update_060116_FINAL
- FINRA, Information Notice, Distributed Denial of Service (DDoS) Attacks on Member Firms (June 19, 2015) <http://www.finra.org/industry/information-notice-061915>
- FINRA, Report on Cybersecurity Practices (February 2015) <https://www.finra.org/web/groups/industry/%40ip/%40reg/%40guide/documents/industry/p602363.pdf>
- FINRA, Investor Alerts www.finra.org/investors/alerts/cybersecurity-and-your-brokerage-firm
- 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>
- OICU-IOSCO, Guidance on Cyber Resilience of Financial Market Infrastructures (June 2016) <http://www.bis.org/cpmi/publ/d146.pdf>
- Financial Services Information Sharing and Analysis Center (FS-ISAC) <https://www.fsisac.com/>
- The National Institute of Standards and Technology (NIST), Cybersecurity Framework <http://www.nist.gov/cyberframework/>
- SANS Critical Security Control 20 www.sans.org/critical-security-controls/control/20