



SEC, FINRA, and CFTC Announce “Lessons Learned” for Investment Adviser and Broker-Dealer Business Continuity Plans

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Regulatory requirements for registered investment advisers and securities broker-dealers require that each have a business continuity plan (“BCP”) and disaster recovery procedures to address emergencies or other significant business interruptions. The SEC, FINRA, and CFTC conducted a study of the effects of Hurricane Sandy on several firms with a “significant market presence” and issued a report on common issues firms should consider when assessing their BCPs. Click [here](#) to read more in the Client Alert.

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