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SEC Division of Examinations Announces 2021 Exam Priorities: DLA Piper

On March 3, the Division of Examinations (Division) of the Securities and Exchange Commission (SEC) announced its [2021 Examination Priorities](#). Published annually for the last nine years, the priorities are designed to provide securities industry participants with insight into the Division's risk-based approach to examinations and the areas it currently believes present potential risks to investors and the US capital markets. The 2021 release highlights nine areas:

- Retail investors, including seniors and retirement savers
- Information security and operational resiliency
- Financial technology and innovation, including digital assets
- Anti-money laundering (AML)
- London Inter-Bank Offered Rate (LIBOR) transition
- Registered investments advisers (RIAs) compliance programs and investment companies
- Broker-dealer financial responsibility and trading practices and municipal advisors
- Market infrastructure (clearing agencies, exchanges, and transfer agents) and
- Regulating the regulators: examinations of the Financial Industry Regulatory Authority (FINRA) and Municipal Securities Rulemaking Board (MSRB).

The priorities list is prefaced with a message from the Division's leadership team and an introduction offering further insight to the Division's work and strategic direction. Set forth below is our summary and key takeaways.

[Continue reading.](#)

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