
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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