

Commission and SEC Staff-Issued Information Regarding Cybersecurity

As at October 28, 2022

"Cybersecurity, the SEC and You" (through February 27, 2022), www.sec.gov/cybersecurity. resources including materials for Investors, Issuers, RIAs, RICs, Brokers, Dealers and SROs; links to, enforcement actions, guidance and information on Enforcement's Cyber Unit and Forensics Lab; and key external resources links.

- "Safeguarding Client Accounts against Credential Compromise" (September 15, 2020), <https://www.sec.gov/files/Risk%20Alert%20-%20Credential%20Compromise.pdf>.
- "Ransomware Alert" (July 10, 2020), <https://www.sec.gov/files/Risk%20Alert%20-%20Ransomware.pdf>.
- "OCIE Cybersecurity and Resiliency Observations" (January 27, 2020), <https://www.sec.gov/files/OCIE%20Cybersecurity%20and%20Resiliency%20Observations.pdf>.
- "Risk Alert: Safeguarding Customer Records and Information in Network Storage - Use of Third Party Security Features" (May 23, 2019), www.sec.gov/ocie/risk-alert-network-storage.
- "Investment Adviser and Broker-Dealer Compliance Issues Related to Regulation S-P - Privacy Notices and Safeguard Policies" (April 16, 2019), www.sec.gov/ocie-risk-alert-regulation-s-p.
- *In re Voya Financial Advisors Inc*, Advisers Act Release 5048 (September 26, 2018), <https://www.sec.gov/litigation/admin/2018/34-84288.pdf>.
- "Commission Statement and Guidance on Public Company Cybersecurity Disclosures", Securities Act Release 10459 (February 21, 2018), <https://www.sec.gov/rules/interp/2018/33-10459.pdf>.
- "Observations from Cybersecurity Examinations" (August 7, 2017), <https://www.sec.gov/files/observations-from-cybersecurity-examinations.pdf>.
- "Cybersecurity: Ransomware Alert" (May 17, 2017), <https://www.sec.gov/files/risk-alert-cybersecurity-ransomware-alert.pdf>
- "Protecting Online Investment Accounts from Fraud" (April 26, 2017), <https://www.investor.gov/news-alerts/alerts-bulletins/updated-investor-bulletin-protecting-your-online>.
- "Business Continuity Planning for Registered Investment Companies" (June 2016), <https://www.sec.gov/investment/im-guidance-2016-04.pdf>.
- *In re Morgan Stanley Smith Barney LLC*, Advisers Act Release 4415 (June 8, 2016), <https://www.sec.gov/litigation/admin/2016/34-78021.pdf>.
- *In re Craig Scott Capital LLC*, Exchange Act Release 77595 (April 12, 2016), <https://www.sec.gov/litigation/admin/2016/34-77595.pdf>.
- "Identity Theft, Data Breaches and Investment Accounts" (September 22, 2015), http://www.sec.gov/oiea/investor-alerts-bulletins/ia_databreaches.html.
- *R.T. Jones Capital Equities Management Inc*, Advisers Act Release 4204 (September 22, 2015), <http://www.sec.gov/litigation/admin/2015/ia-4204.pdf>.
- "OCIE's 2015 Cybersecurity Examination Initiative" (September 15, 2015), <http://www.sec.gov/ocie/announcement/ocie-2015-cybersecurity-examination-initiative.pdf>.
- "Cybersecurity Guidance" (April 2015), www.sec.gov/investment/im-guidance-2015-02.pdf.
- "Protecting Online Brokerage Accounts from Fraud" (February 3, 2015), <http://investor.gov/investor-bulletins/investor-bulletin-protecting-your-online-brokerage-accounts-fraud>.

- “OCIE Cybersecurity Examination Sweep Summary” (February 3, 2015), <http://www.sec.gov/about/offices/ocie/cybersecurity-examination-sweep-summary.pdf>.
- “OCIE Cybersecurity Initiative” (April 15, 2014), www.sec.gov/ocie/announcement/Cybersecurity+Risk+Alert++%26+Appendix+-+4.15.14.pdf.
- “CF Disclosure Guidance: Topic No. 2 on Cybersecurity” (October 31, 2011), <http://www.sec.gov/divisions/corpfin/guidance/cfguidance-topic2.htm>.
- Final Model Privacy Form under the Gramm-Leach-Bliley Act: A Small Entity Compliance Guide (April 15, 2010), www.sec.gov/divisions/marketreg/tmcompliance/modelprivacyform-secg.htm; Model Privacy Form – www.sec.gov/rules/final/2009/34-61003_modelprivacyform.pdf; and [Advisers Act Release 2950](http://www.sec.gov/act/2009/11/16/2009-11-16-act.htm) (November 16, 2009), www.sec.gov/rules/final/2009/34-61003.pdf.
- *Commonwealth Equity Services LLP*, Advisers Act Release 2929 (September 29, 2009), <http://www.sec.gov/litigation/admin/2009/34-60733.pdf>.
- *In re LPL Financial Corp*, Advisers Act Release 2775 (September 11, 2008), www.sec.gov/litigation/admin/2008/34-58515.pdf.
- *In re Marc A. Ellis*, Exchange Act Release 64220 (April 11, 2007), www.sec.gov/litigation/admin/2011/34-64220.pdf.
- Disposal of Consumer Report Information, Advisers Act Release 2332 (December 2, 2004), <https://www.sec.gov/rules/final/34-50781.htm>.
- Privacy of Consumer Financial Information (Regulation S-P), Advisers Act Release 1883 (June 22, 2000), <https://www.sec.gov/rules/final/34-42974.htm>.