



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

AUGUST 2013

By Christopher Hewitt, Robert Loesch, and Glenn Morrical

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.

This Client Alert has been prepared by Tucker Ellis LLP for the use of our clients. Although prepared by professionals, it should not be used as a substitute for legal counseling in specific situations. Readers should not act upon the information contained herein without professional guidance.

© 2025 Tucker Ellis LLP, All rights reserved.