

SEC Announces Cybersecurity Enforcement Action

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On September 22, 2015, the Securities and Exchange Commission (SEC) announced the settlement of an enforcement action against a St. Louis-based registered investment adviser brought under Rule 30(a) of Regulation S-P (Safeguards Rule). The SEC Order charged the adviser with violating the Safeguards Rule by failing to adopt written cybersecurity policies and procedures reasonably designed to protect customer records and information... [Continue Reading](#)