

## IN THE NEWS APRIL 2024



### 2024 IAA Conference Key Takeaways

Asgard Team Members Olivia Scuteri and Shannon Brady attended the IAA Conference on March 6-8 2024.

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### FINRA Cybersecurity Alert

A new cybersecurity alert warns member firms to be wary of fraudulent messages impersonating executives at the industry regulator.

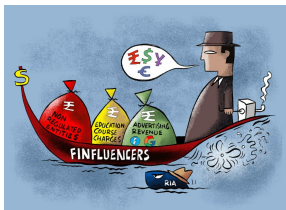
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### MFA Bypass Attacks

MFA bypass attacks are used by cybercriminals to avoid or circumvent MFA tools in order to gain access to user accounts.

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### FINRA fines M1 Finance in landmark social media enforcement

The regulator hands down a \$850,000 penalty after finding noncompliant promotional messages from the BD's influencer army.

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### SEC fines Investment Advisors over AI claims

Two Investment Firms settled with the SEC for making false and misleading statements about their use of AI-washing.

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### SEC wins \$93 million judgement against Commonwealth in Revenue-Sharing case

The company lost its five-year legal battle with the SEC when the judgement was ordered in March 2024.

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