

IN THE NEWS JULY 2023



JP Morgan to pay \$4M over 47 Million Deleted Records

From January 2018 to April 2018 the SEC alleged that JPMorgan Securities permanently deleted 47 million electronic records, including emails and instant messages.

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RIAs embracing Compliance

In a time of possibly the most aggressive SEC ever, RIA's are realizing that compliance is not something to be ignored.

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Financial Services and General Appropriations Bill

The spending bill which passed on June 22, 2023 prohibits the SEC from enforcing the new custody rule, known as Safeguarding Advisory Client Assets.

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Off Channel Webinar August 24, 2023

Asgard's own Jonathan Hurd, CEO, CAMS will be hosting his first ever webinar on August 24, 2023 at 11am regarding off channel communications. You don't want to miss this! (Read more to sign up)

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Electronic Record-keeping Rules.

Electronic Record Keeping Rules has recently been updated. As a result, firms relying on Rule 17a-4(f) to preserve required records electronically must file new undertakings with FINRA by May 3, 2023. Please reach out to your requisite vendor for an updated undertaking letter to upload to the FINRA gateway.

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