

“SEC Issues a Risk Alert Encouraging Broker-Dealers Strengthen Anti-Money-Laundering Compliance,” ABA Securities Litigation Journal

Publications

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In their article, Jenner & Block Partners Charles D. Riely and Sarah F. Weiss and Associates Rachel C. Foster and E.K. McWilliams explain that the US Securities and Exchange Commission has a continued focus on ensuring that registered firms comply with their anti-money-laundering obligations. The authors highlight the SEC’s March 2021 risk alert reminding broker-dealers of their AML obligations. They examine the SEC’s historical focus, discuss a recent SEC litigation victory enforcing these provisions, and share key takeaways from the risk alert.

Related Attorneys

Rachel Foster

Associate

rfoster@jenner.com

+1 312 840 7330



Charles D. Riely

Partner

criely@jenner.com

+1 212 891 1686



Sarah F. Weiss

Partner

sweiss@jenner.com

+1 312 840 7597

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