

Is Your Business Continuity Plan Ready for SEC Scrutiny?

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Granted, no advisors could have foreseen a pandemic.

But business continuity plans are ranking high on the SEC's must-read list as the commission continues its remote compliance reviews of RIAs for the duration of the outbreak.

Foreside's Lori Weston, Managing Director, Investment Advisor Consulting, was a featured guest speaker on TD Ameritrade's advisor webcast last week. Find out why she urged advisors to update their existing plans concerning disaster preparedness, which is featured in Financial Planning. Read Lori's full comments in Financial Planning [HERE](#).

"Most firms have a business continuity plan that is designed to address multiple scenarios who could have predicted an event that would have impacted the entire globe simultaneously? "