

The SEC and FINRA's use of big data in investigations and the implications for defense counsel

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In recent years, the SEC and FINRA have created a number of new units to increase their capacity to use data analytics in market surveillance and policy/rulemaking activities. This article summarizes these units, their objectives and the types of investigations that most prominently use data analytics. The article closes with a discussion of the new challenges that defense lawyers face as regulators increasingly use big data in their enforcement actions.

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