



SEC Examinations and Investigations: Electronic Communications

Jan 5, 2018

Reading Time : **1 min**

By: Peter I. Altman

Akin Gump took a look at the rising use of new electronic communications platforms among employees and clients across the financial services industry. Here we explore popular apps, including Signal, WhatsApp and iMessage. We offer a hypothetical of what the SEC would likely expect an advisor to maintain as “books and records,” and what they could request in an examination or obtain from a subpoena.

Click [here](#) to read the article.

Categories

Policy & Regulation

Compliance

SCOTUS

© 2025 Akin Gump Strauss Hauer & Feld LLP. All rights reserved. Attorney advertising. This document is distributed for informational use only; it does not constitute legal advice and should not be used as such. Prior results do not guarantee a similar outcome. Akin is the practicing name of Akin Gump LLP, a New York limited liability partnership authorized and regulated by the Solicitors Regulation Authority under number 267321. A list of the partners is available for inspection at Eighth Floor, Ten Bishops Square, London E1 6EG. For more information about Akin Gump LLP, Akin Gump Strauss Hauer & Feld LLP and

other associated entities under which the Akin Gump network operates worldwide, please see our Legal Notices page.