

Adviser Exams: Mitigating Enforcement Risks

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In an evolving securities landscape, examinations of investment advisers remain a key priority for the SEC's Office of Compliance Inspections and Examinations (OCIE). By understanding OCIE's exam priorities, proactively testing policies and procedures, and prudently managing issues as they arise in the course of exams, investment advisers can reduce the risk that an OCIE exam will lead to an investigation by the SEC's Division of Enforcement.

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