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NABL: SEC Announces 2016 Examination Priorities.

On January 11, 2016, the Securities and Exchange Commission announced the 2016 examination priorities for the Office of Compliance Inspections and Examinations' (OCIE).

The priorities include public pension advisers, focusing on pay-to-play, including undisclosed gifts and entertainment. OCIE also expects to allocate examination resources to newly-registered Municipal Advisors to assess compliance with recently adopted SEC and MSRB rules.

The SEC press release is available here.

The OCIE 2016 examination priorities are available here.

OCIE's August 19, 2014 letter concerning the Municipal Advisor Examination Initiative is available here.

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