

Bond Case Briefs

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SEC's 2018 Exam Priorities Reflect Continued Focus on Cybersecurity.

Annually, the Securities and Exchange Commission's Office of Compliance Inspections and Examinations ("OCIE") publishes its examination priorities for the new year. Recently, OCIE [announced](#) five priorities that will inform its examinations moving in to 2018.

OCIE is committed to "promoting compliance, preventing fraud, identifying and monitoring risk, and informing policy." In support of these "pillars," OCIE intends to focus on:

1. Issues of importance to retail investors, such as fee disclosures, mutual funds, and exchange-traded funds;
2. Entities that are critical to the proper functioning of capital markets, such as clearing agencies and national securities exchanges;
3. Oversight of the Financial Industry Regulatory Authority (FINRA) and the Municipal Securities Rulemaking Board (MSRB);
4. Cybersecurity; and
5. Anti-money laundering programs.

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