

Bond Case Briefs

Municipal Finance Law Since 1971

SEC Is Ready To Execute Its 2019 Examination Priorities.

The U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations published its 2019 examination priorities on Dec. 20, 2018. Since this occurred just prior to the implementation of a partial government shutdown, OCIE has had little chance to demonstrate how it will execute on these priorities.

With furloughed staff back in place, however, registered investment advisers, registered funds and broker-dealers can be certain that OCIE staff will quickly begin examinations focused on these identified priorities.

Please see [full Issue](#) for more information.

by Kelley A. Howes

February 1, 2019

Morrison & Foerster LLP

Copyright © 2026 Bond Case Briefs | bondcasebriefs.com