

SEC Examination Priorities in 2015 to Focus on Transparency Issues and the Early Detection of Potential Fraudulent or Other Illegal Activity

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On January 13, 2015, the SEC's Office of Compliance Inspections and Examinations ("OCIE") announced its 2015 examination priorities for investment advisers, broker-dealers and transfer agents. These priorities emphasize the importance of transparency and seek to identify, through enhancements in technology, potential illegal activity by focusing on the following key areas... [Continue Reading](#)

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