

Anchin Alert

Anchin, Block & Anchin LLP
Accountants and Advisors

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2015 SEC Examination Priorities Announced

Last week, the SEC announced its examination priorities for 2015. Three themes highlighted the areas of focus for the SEC's Office of Compliance Inspections and Examinations ("OCIE"): Protection of retail investors and investors saving for retirement, assessing market-wide risk and using enhanced data analysis to identify those engaged in potential illegal activity. Additional examination priorities that were mentioned included newly registered municipal advisors, proxy advisor service firms, never-before-examined investment companies, fees and expenses in private equity funds and transfer agents.

Click [here](#) for the full details to the OCIE's examination priorities for 2015. For more information, contact your Anchin relationship partner or Jeffrey I. Rosenthal, Partner-in-Charge of Anchin's Financial Services Practice at 212.840.3456.

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