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Asset Management ADVocate

OCIE Issues Risk Alert on Upcoming Regulation Best Interest Examinations

The SEC's Office of Compliance Inspections and Examinations (OCIE) issued a risk alert to explain the focus of its upcoming examinations of broker-dealers when gauging their compliance with Regulation Best Interest (Reg BI). In particular, OCIE will focus on reviewing broker-dealers' policies and procedures relating to Reg BI.

OCIE's Reg BI examinations are scheduled to begin soon after June 30, 2020, and last for about a year. The examinations will not be delayed because of COVID-19. [Read the full article.](#)

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