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SEC Office of Compliance Inspections and Examinations announces 2020 examination priorities

In January, the U.S. Securities and Exchange Commission (SEC) announced its 2020 examination priorities, published annually "to enhance the transparency of its examination program and to provide insights into its risk-based approach, including the areas it believes present potential risks to investors and the integrity of the U.S. capital markets."

According to the SEC press release,[1] the 2020 examination priorities for the Office of Compliance Inspections and Examinations (OCIE) will be:

"**Retail Investors, Including Seniors and Those Saving For Retirement** – OCIE will continue its focus on the protection of retail investors, including the various intermediaries that serve and interact with retail investors and the investments marketed to, or designed for, retail investors."

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