

RIN Data

SEC

RIN: 3235-AL92

Publication ID: Spring 2016

Title: •Third Party Compliance Assessment

Abstract:

The Division is considering recommending that the Commission propose a rule establishing a program of third-party compliance assessment for registered investment advisers designed to improve overall compliance by registered investment advisers.

Agency: Securities and Exchange Commission(SEC)

RIN Status: First time published in the Unified Agenda

Major: Undetermined

CFR Citation: [17 CFR 275.206\(4\)-9 \(New\)](#)

Legal Authority: [15 U.S.C. 80b-6\(a\)](#) [15 U.S.C. 80b-11\(a\)](#)

Legal Deadline: None

Timetable:

Action	Date	FR Cite
NPRM	04/00/2017	

Regulatory Flexibility Analysis Required: Undetermined

Small Entities Affected: Businesses

Included in the Regulatory Plan: No

RIN Data Printed in the FR: No

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Priority: Substantive, Nonsignificant

Agenda Stage of Rulemaking: Proposed Rule Stage

Unfunded Mandates: No

Government Levels Affected: Undetermined

Federalism: Undetermined