

Announcement

Observations from Examinations of Investment Advisers: Compliance, Supervision, and Disclosure of Conflicts of Interest

Topic: The purpose of this Risk Alert is to raise awareness of certain compliance issues that OCIE observed by sharing the staff's observations from these examinations.

Key takeaway: OCIE encourages advisers, when designing and implementing their compliance and supervision frameworks, to consider the risks presented by hiring and employing supervised persons with disciplinary histories and adopt policies and procedures to address those risks.

View the Risk Alert: [Observations from Examinations of Investment Advisers: Compliance, Supervision, and Disclosure Conflicts of Interest \(PDF\)](#)

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