



**U.S. Securities and
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[Home](#) / [Compliance](#) / [Risk Alerts](#) / Examinations Observations of Investment Adviser Obligations Related to Economic Conflicts of Interest

ANNOUNCEMENT

Examinations Observations of Investment Adviser Obligations Related to Economic Conflicts of Interest

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The Division of Examinations published a Risk Alert to assist advisers in developing effective compliance programs and disclosures with respect to economic conflicts of interest. The Risk Alert addresses observations made during review of the economic incentives that advisers and their financial professionals may have to recommend certain products, services, or account types to their clients. These reviews include advisers' written policies and procedures, disclosure of fees and expenses, and whether advisers are accurately calculating and charging clients advisory fees and expenses in accordance with client disclosures.

View the Risk Alert: [Investment Advisers: Examinations Observations of Investment Adviser Obligations Related to Economic Conflicts of Interest](#) [./files/observations-ia-obligations-related-economic-conflicts-interest-060926.pdf](#).

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