

SEC 2013 Examination Priorities

On February 21, 2013 the SEC released its 2013 examination priorities. The SEC states that with respect to broker-dealers it is going to continue to focus on sales practice/fraud, trading, capital, and AML. New issues of concern for the examination process are: the market access rule, proprietary trading, technology and dual registration particularly with the CFTC.

[Please click here to see the full release.](#) As always please contact Seward & Kissel if you have any questions concerning how this may effect your business.