

OCIE's Exam Priorities.....	2018	2017	2016	2015	2014	2013	Prior
Cybersecurity & Technology					X		
Retirement Accounts and Senior Investors	2				X		
Never Before Examined IA/IC and New Registrants					X		
Private Fund Advisers					X		
Transfer Agents							
AML							
Clearing Agencies							
Municipal Advisers							
ETFs							
Conflicts of Interest					X		
Wrap Fee Programs					X		
Electronic Investment Advice							
FINRA							
Fixed Income Order Execution							
National Securities Exchanges							
Target Date Funds							
Product Promotion of New, Complex, and High Risk Products							
Variable Annuities							
Custody, Safety of Assets					X		
Governance and Risk Management					X		
Business Continuity Plans							
Cryptocurrency, ICOs, Secondary Market Trading, Blockchain							
Disclosure Cost of Investments							
Fiduciary Duty							
MSRB							
Regulation Systems Compliance and Integrity (SCI) Entities							
Branch Offices							
Recidivist Reps and their Employers							
Fee Selection and Reverse Churning							
Microcap Fraud							
Pay to Play Rule							
Money Market Funds					X		
Payment for Order Flow							
New Laws and Regulations					X		
Excessive Trading (Churning)							
Private Placements							
Liquidity Controls							
Alternative Investment Companies					X		
Fixed Income Investment Companies					X		
Advertising / Marketing / Performance					X		
Dual Registrants IA/BD					X		
Fraud Detection and Prevention					X		
Payments for Distribution in Guise					X		
Fund Governance							
Exemptive Orders							
Complex Entities							