

What's On Tap for the SEC in 2013?

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In its recent [end of year report](#), the SEC laid out an ambitious list of goals and priorities for 2013. Many of the initiatives reflect the agency's continuing focus on investment advisers.

Enforcement: The SEC lists advisers as a "high priority" target for investigation and enforcement actions. It will continue to build on its risk-based, proactive initiatives and other capabilities to "act quickly to halt misconduct."

Examination: The SEC will continue targeting fraud using a risk-based approach. The SEC's enforcement division will focus on the "tone at the top."

Investor Protection: The SEC plans to hire examiners to "supplement and coordinate with other examination efforts" and bring "skills and specialized experience to examinations of funds and investment advisers."

Rulemaking: The SEC will move forward with new rules under the JOBS Act as well as further consider a uniform fiduciary standard of conduct for advisers and broker-dealers. On that note, the report specifically states that the SEC "will continue assessing ways to better harmonize the regulatory requirements of investment advisers and broker-dealers when they are providing the same or substantially similar services to retail investors."

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