OCIE National Exam Program ("NEP")

 Andrew J. Bowden - Director of the agency's Office of Compliance Inspections and Examinations ("OCIE")

Mission

- Improve Industry Compliance
 - Local and national outreach seminars, risk alerts, recruitment of industry experts, etc.
- Identify and Prevent Fraud
 - Focused, risk-based examinations of registered advisers, specialized working groups, coordination across SEC offices and Divisions of Risk, Strategy and Financial Innovation and Enforcement
- Monitor Risk
 - Specialized units (Office of Risk Analysis and Surveillance, Office of Large Firm Monitoring and Quantitative Analytics Unit, etc.)
- Inform Policy
 - Utilize results/findings to inform future rulemaking and provide guidance to the industry



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Wenbin Ji

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