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By -

RareBooksClub. Paperback. Book Condition: New. This item is printed on demand. Paperback. 74 pages. Original publisher: Washington, D. C. : U. S. Govt. Accountability Office, 2007 OCLC Number: (OCoLC)191958684 Subject: Securities industry -- Self-regulation -- United States. Excerpt: . . . OCIE conducts both routine and special inspections of SRO regulatory OCIE Approach to SRO programs as part of its oversight efforts. We found that the SRO inspection Inspections Focuses on process generally includes a planning phase, an on-site review of SRO programs, and a written report to the SRO documenting inspection findings Determining Whether and recommendations that is reviewed and approved by the Commission. SROs Identify OCIE typically staffs inspections with a lead attorney and from 2 to 6 other Violations and Enforce staff, who also work concurrently on at least 1 other SRO inspection. The number of staff dedicated to SRO inspections has fluctuated in recent and Comply with SRO years, but as of September 2007 totaled 46. According to OCIE officials, Rules Effectively inspections of SRO enforcement programs are intended to assess the design and operation of SRO enforcement programs to determine if they effectively fulfill SRO regulatory responsibilities. As part of these inspections, OCIE takes steps...



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