



**2017 ANNUAL CONFERENCE
SCOTTSDALE**

SEC

**Office of Compliance
Inspections and
Examinations**

**Leo Karwejna, Moderator
Robert Miller, Speaker
Nadine Evans, Speaker**

SEC - OCIE Initiatives

- **General Examination Observations**
- **Overview of the Exam Process**

SEC - OCIE Initiatives

- **G-42 and OCIE Exams**
- **Other Key Discoveries Related to Specific Rules**

SEC - OCIE Initiatives

- **Forthcoming Rulemaking and Exam Review**
- **Notifying SEC of Professional Practices of Concern**
- **Other Issues**
- **Questions**