

# What's On Tap for the SEC in 2013?

By: Bettina Eckerle

<http://eckerlelawyers.com/blog-news/>

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."

*[Eckerle Law](#) offers a highest-quality and cost-effective alternative to the traditional law firm model for a wide variety of transactional and regulatory matters serving all your business law needs. Our experienced attorneys also provide a full range of [compliance services for investment advisers](#), offering compliance tools that are tailored to fit the ever changing regulatory landscape as well as your business needs. If your company would like to strengthen its business practices, please contact us today so we can leverage our experience to create real-life business and legal solutions to help your business thrive.*