

## Gottschall and Addleman in Law360: ‘Breaking Down the SEC’s 2024 Examination Priorities’

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November 16, 2023 Kurt Gottschall, Kit Addleman

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Haynes Boone Partners [Kurt Gottschall](#) and [Kit Addleman](#) authored an article in *Law360* discussing the Securities and Exchange Commission’s 2024 Examination priorities.

Read an excerpt below:

This year, the U.S. Securities and Exchange Commission's Division of Examinations surprised everyone by releasing its 2024 examination priorities in October in order to better align the timing with the start of the SEC's fiscal year.

Overall, the 2024 priorities signal a steady course from prior years, but they also include some specific new concerns and important twists on perennial risk areas.

### Outreach and Transparency

Let's start by giving credit where credit is due — over the past several years, the Division of Examinations has greatly expanded the quantity and quality of public guidance through the issuance of risk alerts and compliance outreach events.

This added transparency should prompt compliance improvements even to registrants that are not examined in any given fiscal year, thereby amplifying the impact of the exam program.

Last year, department staff published nine risk alerts, including particularly helpful observations regarding Regulation Best Interest and anti-money laundering compliance, along with an updated road map for newly registered adviser examinations.

To read the full article in *Law360*, [click here](#).