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OCIE Best Execution Risk Alert

The Hedge Fund Journal

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On July 11, 2018, the SEC's Office of Compliance Inspections and Examinations ("OCIE") issued a Risk Alert focusing on the most common deficiencies relating to best execution found by the SEC staff in recent examinations of investment advisers. The Risk Alert provides a snapshot of OCIE's expectations regarding a fund manager's best execution policies and procedures. In this article, partner Marc Elovitz and former Schulte lawyer Brian Daly discuss the Risk Alert and its implications for private fund managers.

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