

OCIE Public Inspection Reports
1996-2008

"Joint Regulatory Sales Practice Sweep" (OCIE, NASD, NYSE, NASAA)
March 1996

"Inspection Report on the Soft Dollar Practices of Broker-Dealers, Investment Advisers and Mutual Funds"
September 1998

"Report of Examinations of Day-Trading Broker-Dealers"
February 2000

"Report Concerning Display of Customer Limit Orders"
May 2000

"Payment for Order Flow and Internalization in the Options Market"
December 2000

"Examinations of Broker-Dealers Offering On-Line Trading: Summary of Staff Findings and Recommendations"
January 2001

"Joint SEC/NASD/NYSE Report of Examinations of Broker-Dealers Regarding Discounts on Front-End Sales Charges on Mutual Funds"
March 2003

"Implications of the Growth of Hedge Funds" (Division of Investment Management + OCIE)
September 2003

"Staff Report Concerning Examinations of Select Pension Consultants"
May 2005

"Report Concerning Examinations of Options Order Routing and Execution"
March 2007

"Protecting Senior Investors: Report of Examinations of Securities Firms Providing "Free Lunch" Sales Seminars"
September 2007

"Summary Report of Issues Identified in the Commission Staff's Examinations of Select Credit Rating Agencies"
July 2008

"Joint Report: Protecting Senior Investors: Compliance, Supervisory and Other Practices Used by Financial Services Firms in Serving Senior Investors" (OCIE, FINRA, NASAA)
September 2008