

Sec Operations: Increased Workload Creates Challenges

Hillman, Richard J.

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Sec Operations Increased Workload Creates Challenges

**United States. Congress. House.
Committee on Government Reform.
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Efficiency and Financial Management**

Sec Operations Increased Workload Creates Challenges:

SEC Operations Richard J. Hillman, 2002-08 In the past decade securities markets have undergone tremendous growth 2 identify whether SEC's resource levels have affected its ability to regulate 3 identify any other factors that may affect SEC's ability to fulfill its mission Charts tables graphs **Sec Operations** U S Government Accountability Office (G.U. S. Government Accountability Office (, 2013-06 The Securities and Exchange Commission SEC faces growing regulatory and oversight challenges Technological advances have increased the complexity of securities markets and the range of products offered to the public More people than ever are invested in securities either directly or through mutual funds Technology has also fundamentally changed the way these markets operate and how investors interact with them SEC routinely prioritizes and allocates resources but the agency is under increasing pressure because of the staffing imbalances caused by its growing workload Staffing shortages have delayed critical regulatory activities such as reviewing rule findings and issuing guidance Oversight and supervisory functions have also been affected SEC has tried to address its high turnover by offering special pay rates and retention bonuses but the lack of funding for pay parity means little relief in the short term SEC has generally managed the gap between staff and workload by determining which basic duties mandated by statute could be accomplished with existing resources This approach has forced SEC to be largely reactive rather than proactive Sec Operations United States Government Accountability Office, 2018-02-03 SEC Operations Increased Workload Creates Challenges *SEC Operations* United States. General Accounting Office, 2002 **SEC Strategic Planning** United States. Congress. House. Committee on Government Reform. Subcommittee on Government Efficiency and Financial Management, 2003 **107-2 Hearings: Accounting Reform and Investor Protection, S. Hrg. 107-948, Vol. 2, March 5, 6, 14, 19, 20, and 21, 2002, ***, 2003 The Firing of an SEC Attorney and the Investigation of Pequot Capital Management, 2007 **Major Management Challenges and Program Risks** United States. General Accounting Office, 2003 **Major management challenges and program risks Office of Personnel Management.** , **Report of Case Decisions** United States. Federal Labor Relations Authority, 2009-03

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