

# [Responding to the SEC's Sharpened Focus on Conflicted Compensation](#)

October 10, 2019

Foreside's Craig Moreshead, Managing Director, Investment Advisor Consulting, recently contributed to the Investment Advisor Association's Newsletter. In this Compliance Corner section, Mr. Moreshead offered insight into responding to the SEC's sharpened focus on conflicted compensation.

Mr. Moreshead provided an interpretation of Regulation BI and the IA fiduciary duty, examples of recent revenue-sharing cases, and insight into the increase risks around certain business models and their compensation structures. Mr. Moreshead also provided practical tips advisors can take to minimize conflicted compensation risk.

Read the full article [here](#).



The Investment Adviser Association is a not-for-profit organization that exclusively represents the interests of SEC-registered investment adviser firms. The Association was founded in 1937 as the Investment Counsel Association of America. Its name was changed to the Investment Adviser Association in 2005.

The Association played a major role in the enactment of the Investment Advisers Act of 1940, the federal law regulating the investment adviser industry. Today, the IAA's growing membership consists of more than 650 firms that manage \$25 trillion in assets for a wide variety of clients, including individuals, trusts, investment companies, private funds, pension plans, state and local governments, endowments, foundations, and corporations.

