

[Here's All the Docs We Want for Reg BI Exams](#)

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The Securities and Exchange Commission on Tuesday published a road map for firms to follow as they prepare for the Regulation Best Interest rule package.

The rule will become enforceable on June 30, and the agency's exam unit is planning to conduct its first wave of exams on those compliance programs shortly after, the regulator said in a Tuesday [risk alert](#) for broker-dealers. Those exams will likely last for 12 months.

Foreside's Stephen Murphy, Managing Director, Broker-Dealer Consulting, provided insight into how this risk alert may prompt some compliance teams to rethink their priorities over the next two months. Read Stephen's full comments in Ignites [HERE](#).