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Will SEC Examiner Departures Mean Less Retail Alts Scrutiny?

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Jay A. Dubow

Jay Dubow, co-leader of Troutman Pepper Locke's Securities Investigations + Enforcement Practice Group, was quoted in the May 15, 2025 *FundFire* article, "Will SEC Examiner Departures Mean Less Retail Alts Scrutiny?"

While Atkins has yet to release his regulatory agenda and priorities, it's certain that fewer staffers will result in fewer examinations, said Jay Dubow, a partner at Troutman Pepper Locke and former branch chief in the SEC's enforcement division.

"I think there's also going to be fewer referrals to enforcement as a result of those exams," he said.

…

"If you have a more esoteric-type product, you want someone to understand it," Dubow said. "It may be more of a hassle for you to try to get through your exam with people who don't understand your business."

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