

Lori A. Richards



Lori A. Richards is the Director of the Securities and Exchange Commission's Office of Compliance Inspections and Examinations (OCIE), having been appointed on May 1, 1995. OCIE is responsible for administering the SEC's securities compliance examination and inspection program for entities registered with the SEC as self-regulatory organizations, broker-dealers, transfer agents, clearing agencies, investment companies and investment advisers.

Ms. Richards started her career with the SEC in 1985 in the Enforcement program in Los Angeles. From July 1992 through May 1994, she was Associate Director for Enforcement of the SEC's Pacific Regional Office in Los Angeles, responsible for coordinating the SEC's overall enforcement program in the Region. Ms. Richards served concurrently as Acting District Administrator of the SEC's San Francisco District Office from February 1993 through May 1994. From May 1994 to May 1995, she served as Executive Assistant and Senior Adviser to SEC Chairman Levitt.

Ms. Richards received a B.A. from Northern Illinois University in 1982, and a J.D. from American University, Washington College of Law, in 1985.