

## OCC Issues New Comptroller's Handbook Sections Relating to Securities Compliance, Litigation and Conflicts of Interest

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On January 22, the Office of the Comptroller of the Currency (OCC) issued the "Government Securities Act" booklet of the *Comptroller's Handbook*. This new booklet, part of the *Securities Compliance* series, consolidates certain guidance from the *Comptroller's Handbook for Compliance*, "Securities Activities" booklet, issued in September 1991, and the *Comptroller's Handbook* booklet "Investment Securities," issued in March 1990. The new booklet also replaces section 563, "Government Securities Act," issued in May 1998, as part of the Office of Thrift Supervision (OTS) *Examination Handbook* for the examination of federal savings associations (FSAs).

On January 16, the OCC issued the "Litigation and Other Legal Matters" booklet of the *Comptroller's Handbook*. This revised booklet replaces the booklet of the same title issued in February 2000. The revised booklet provides guidance to examiners assessing a bank's litigation exposures, associated risks and risk management practices.

On January 14, the OCC issued the "Conflicts of Interest" booklet of the *Comptroller's Handbook*. This booklet replaces a booklet of the same title issued in June 2000. This booklet, which has been revised to include the supervision of FSAs, provides updated guidance for examiners on risks and expected controls over conflicts of interest that may arise in asset management activities. This booklet also explains the risks inherent in such conflicts and provides frameworks for managing those risks.

Read the "Government Securities Act" booklet [here](#), the "Litigation and Other Legal Matters" booklet [here](#) and the "Conflicts of Interest" booklet [here](#).

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