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Yes, a regulatory judge is generally required to disclose any potential conflict of interest, including situations where a commissioner has a personal or financial connection to a business involved in a case before them; this is to ensure impartiality and uphold the principle of fair adjudication.

Key points about conflicts of interest and regulatory judges:

Ethical obligation:

Judges have a strict ethical duty to disclose any potential conflicts, even if they believe they can remain impartial.

Appearance of impropriety:

Even if a conflict isn't substantial, the mere appearance of a conflict can undermine public trust in the decision-making process.

Recusal:

If a conflict of interest is discovered, the judge may be required to recuse themselves from the case, meaning they step down from hearing the matter.

How a conflict might arise:

Financial interest:

A commissioner might own stock in a company that is being investigated by the regulatory agency.

Family relationship:

A commissioner might have a family member employed by a business involved in the case.

Prior business relationship:

A commissioner may have previously worked for a company now involved in a case before them.

What to do if you suspect a conflict:

Raise the issue:

If you believe a regulatory judge has a conflict of interest, you can typically raise this concern with the judge directly or with the appropriate ethics body within the regulatory agency.

Review procedures:

Most regulatory agencies have established procedures for handling conflict of interest disclosures and recusal requests.

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Conflict of Interest - Missouri Ethics Commission - MO.gov

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Code of Conduct for United States Judges

A judge's obligation under this Code and the judge's obligation as a fiduciary may come into conflict. For example, a judge should resign as a trustee if it ...

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Summary of Standards of Conduct and Conflict of Interest Rules

Dec 27, 2019 — The federal conflict of interest rules are found at 18 U.S.C. § 208 with implementing regulations at 5 C.F.R. § 2635.402.

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Regulation Best Interest

Sep 9, 2019 — Regulation Best Interest applies to recommendations of any securities transaction or investment strategy involving securities (including account ...

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Published Ethics Advisory Opinions (Guide, Vol. 2B, Ch. 2)

... has a financial interest in the subject matter in controversy or in a party to the proceeding," or when the judge has "any other interest that could be.

SEC.gov https://www.sec.gov › newsroom › speeches-statements

Conflicts of Interest and Risk Governance

Nov 1, 2012 — We focus on conflicts of interest as an integral part of our assessment of which firms to examine, what issues to focus on, and how closely to scrutinize.

NAIC NAIC https://content.naic.org › inline-files › MDL-275

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