

PLI's Financial Services Industry Regulatory Compliance & Ethics Forum 2016

NOVEMBER 14, 2016

Financial services firms' corporate compliance and ethics programs are under intense regulatory scrutiny. Many new rules have been issued which impact the manner in which financial services firms operate. PLI's Financial Services Industry Regulatory Compliance & Ethics Forum 2016 offers attendees a solid foundation of the relevant regulatory framework as well as practical considerations regarding the design and implementation of such programs. A distinguished faculty of practitioners and regulators will review the major regulations and current examination and enforcement actions to give attendees a multi-faceted perspective on requirements and best practices in this area.

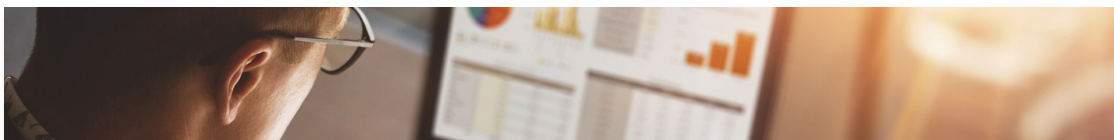
WilmerHale Special Counsel Gail Bernstein will be on the panel, "Developments Regarding the Role of the CCO in Financial Services." The panel will discuss swap dealer CCO requirements and conflicts of interest of the CCO under the DOL Fiduciary Rule.

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