

## PLI's Fundamentals of Broker-Dealer Regulation 2018

JULY 30, 2018

Major changes in the broker-dealer industry and regulatory framework are anticipated as a result of the new administration and new senior leadership at the SEC that is providing a fresh and comprehensive examination of financial services regulation. At the same time, the broker-dealer industry is undergoing change as new rules put pressure on the traditional commission-based model and as digital advice platforms continue to take hold. PLI's Fundamentals of Broker-Dealer Regulation 2018 provides attendees with a solid foundation in the regulatory regime applying to broker-dealers, including what to expect next regarding broker-dealer regulation. Attendees will learn how the Securities Exchange Act of 1934, FINRA rules and state securities laws interact in governing the brokerage industry. Attendees will also learn about recent exam and regulatory enforcement activity by the SEC, FINRA, and the states and about how broker-dealers are responding to these developments and the challenges ahead for the industry.

Partner Stephanie Nicolas speaks about "Broker-Dealer Exam Priorities and Hot Topics."

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### *Speakers*



#### **Stephanie Nicolas**

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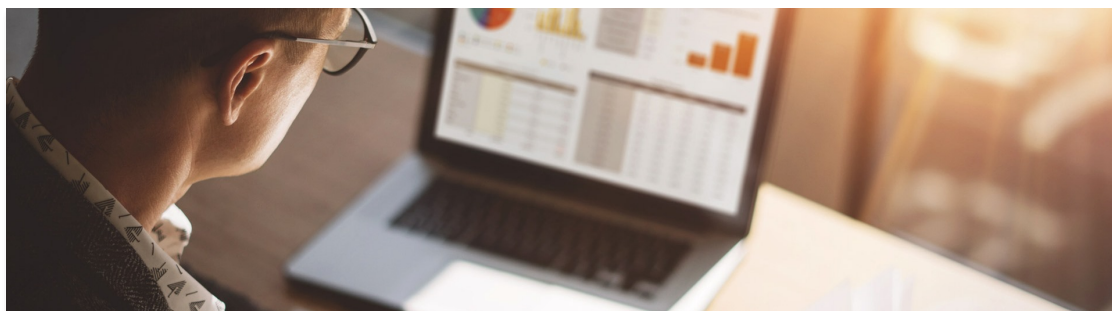
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