

## Fundamentals of Broker-Dealer Regulation 2019

JULY 22, 2019  
PLI NEW YORK CENTER

Major changes in the broker-dealer industry and regulatory framework are anticipated as the SEC continues to advance its Regulation Best Interest, while various states advance their own fiduciary regulations. At the same time, the SEC, FINRA and state regulators continue to scrutinize various brokerage practices via their respective examination programs. This event will provide 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.

A distinguished faculty will offer insights into recent rulemaking that is having a far-reaching impact on the day-to-day operations of firms.

Partner Stephanie Nicolas will speak on a panel titled, "Broker-Dealer Standard of Conduct: Living with Regulation Best Interest and a Patchwork of State Fiduciary Regulations."

Groupcast locations and webcast will also be available.

[READ MORE ABOUT THE EVENT](#)

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## *Speakers*



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PARTNER

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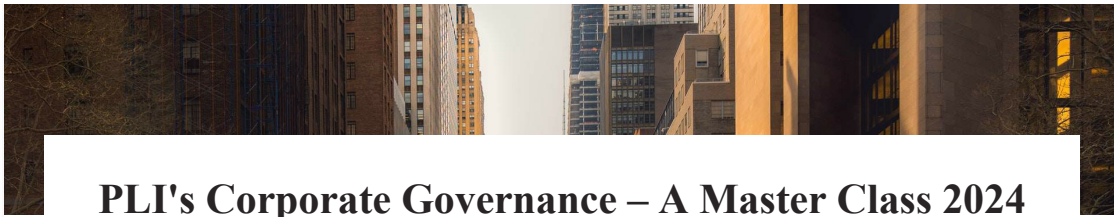


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