

## ACI's National Forum on the Regulation and Enforcement of Broker-Dealers & Investment Advisers

MARCH 31, 2011 - APRIL 1, 2011

After much debate, the passage of the Dodd-Frank Wall Street Reform and Consumer Protection Act set in motion the most extensive financial overhaul since the Great Depression. As such, the regulatory environment for the financial services industry as a whole is greatly impacted. While many will feel the effects, broker-dealers and investment advisers stand to be especially affected, as new legislation changes will force a drastic shift in business practices, regulatory activity, and litigation exposure. ACI's National Forum on the Regulation and Enforcement of Broker-Dealers & Investment Advisers will provide you with cutting-edge strategies and insights from the leaders in the field on how to respond to the changes impacting this area.

WilmerHale partner Jonathan Shapiro is a featured speaker at this event, and will present on a panel entitled "SRO Roundup: FINRA Enforcement Activity and Initiatives Impacting Broker-Dealers and Investment Advisers."

[Detail](#) and [Registration](#)

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APRIL 24, 2024

**SPEAKING ENGAGEMENT**



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APRIL 25, 2024

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