

## Broker-Dealer and Adviser Regulatory Compliance Forum 2010

2010-09-17

This Practising Law Institute (PLI) webcast covers the brokerage and advisory firms' compliance programs which are currently under intense regulatory scrutiny. At this half-day program, attendees will get a solid foundation about 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 current regulatory initiatives and recent examination and enforcement activity to give attendees a multi-faceted perspective on requirements and best practices in this area. Topics covered will include;

- What are the requirements governing broker-dealer and adviser compliance programs?
- What are the regulatory expectations concerning the establishment of a firm's supervisory structure?
- Hot topics such as the review and maintenance of electronic communications; the supervision of representative use of social media; the broker-dealer and adviser advertising rules.
- What are the lessons learned from recent enforcement actions?
- What to expect in your next SEC and FINRA examination?
- How should conflicts of interest identified and resolved?
- What is the liability of the Chief Compliance Officer and Chief Legal Officer for failure to supervise?

WilmerHale Partner Stephanie Nicolas is a featured speaker in this webcast, co-presenting a portion of the seminar titled "Privacy and Safeguarding Information."

**[READ MORE ABOUT THE EVENT](#)**

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## *Speakers*

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