

Broker-Dealer and Adviser Regulatory Compliance Forum 2011

2011-02-25

Brokerage and advisory firms' compliance programs are 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. This program is designed for legal and compliance professionals at broker-dealers and advisers and will benefit anyone entering the financial services industry.

WilmerHale partner Stephanie Nicolas is a featured speaker at this event, where she will be giving a presentation entitled "Supervisory Issues."

[READ MORE ABOUT THE EVENT](#)

Speakers



Stephanie Nicolas

PARTNER

 stephanie.nicolas@wilmerhale.com

 WASHINGTON DC

 + 1 202 663 6825

You May Be Interested In





Crypto Currently: Crypto Policy Updates

APRIL 4, 2024

WEBINAR



31st Annual Fordham Intellectual Property Law & Policy Conference

APRIL 4–5, 2024

SPEAKING ENGAGEMENT



CFTC 2023 Year in Review and a Look Forward Webinar

APRIL 9, 2024

WEBINAR

[VIEW ALL EVENTS](#)