

Broker-Dealer and Adviser Regulatory Compliance Forum 2013

FEBRUARY 20, 2013

Brokerage and advisory firms' compliance programs are under intense regulatory scrutiny. At this program, attendees will be provided with expert analysis regarding today's hot topics impacting 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. This program will also be available via webinar.

WilmerHale Partner Stephanie Nicolas will speak on the Broker-Dealer and Adviser Advertising Developments panel, which will cover the following topics:

- New FINRA public communication rules
- Internal Use Only Material: Complying with the new "reason to believe" standard
- Backtested performance
- Private fund advertising under the JOBS Act

READ MORE ABOUT THE EVENT

Speakers



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FIA Law & Compliance Division Conference 2024

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