

Financial Research Associates: 7th Annual Investment Adviser Compliance Forum

JANUARY 30-31, 2007

FRA presented its 7th Annual Investment Adviser Compliance Forum, which was a comprehensive, regulatory summit designed for compliance officers, investment management executives, and in-house counsel. Topic discussions included annual compliance reviews, preparation for SEC examinations, brokerage practices, SEC and NASD advertising requirements, adviser concerns, and AML issues. This conference also offered practical guidance and firsthand accounts of the shifting regulatory environment.

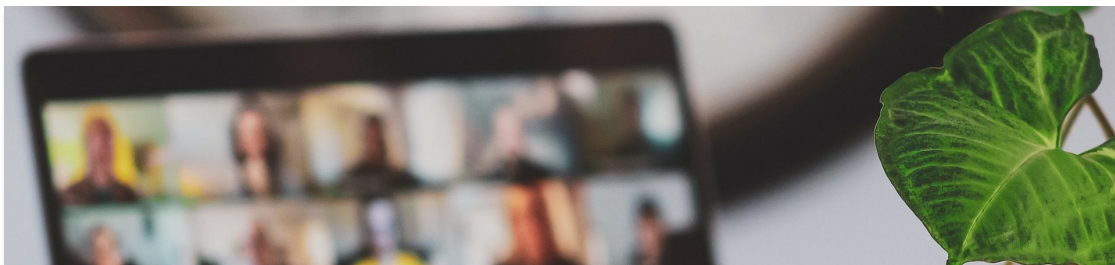
WilmerHale partner Jim Anderson was a featured speaker at this event. He spoke on the topic of "How to Conduct the Annual Compliance Review."

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