

## SIMFA Compliance and Legal Society Charlotte Regional Seminar

SEPTEMBER 22, 2014

The SIMFA Compliance and Legal Society Charlotte Regional Seminar featured presentations by leading securities regulators and industry professionals. WilmerHale Partner Franca Harris Gutierrez moderated the CCO Roundtable, which covered topics including:

- Evolving Regulatory Expectations with Respect to the Compliance Function Structure and its Independence
- Changes to OCC Large Bank Supervisory Policy as a Result of the Peer Review Process
- Hot Topics in Broker-Dealer Regulation (Including FINRA's Focus on High Risk Brokers, Complex Products and Products with High Interest Rate Risk, IRA Rollovers, the Consolidated Supervision Rule and Consolidated Reports)
- Regulatory Scrutiny of Management of Cyber-Security Risks, in Particular Risks Associated with Cloud-Based Service Providers
- Implications for Vendor Management of Recent Guidance and Enforcement Actions

[READ MORE ABOUT THE EVENT](#)

### *Speakers*



**Franca Harris Gutierrez**

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