

## Regulatory Compliance National Conference

Related Attorneys  
William Despo

Event 09/24/2015  
Date:

Boca Raton, FL

Regulatory Compliance's annual conference provides valuable insight on key compliance topics. Learn about the latest regulatory requirements and how they affect your business. Gain knowledge and best practices to help you comply with today's risk-based compliance culture and get the tools you need to expertly manage your firm's compliance requirements.

Take advantage of this unique opportunity to interact with compliance professionals, regulators and your peers.

Get answers to questions like, Does your firm have an effective culture of compliance? Do all levels of your organization understand the firm's compliance obligations? Do they understand how a regulatory issue could impact the firm and responsible staff?

Join Bill Despo for two session panels on Thursday, September 24th:

- 2:15 - 3:05 pm - *Regulatory Roundtable with Former and Current SEC and State Regulators*: Hear from key regulatory professionals from the SEC or States regarding hot topics, exams findings and other developments that should be front and center for every investment adviser;
- 3:35 - 4:25 pm - *Risk Management and CCO Liability*: Following two recent enforcement actions against CCOs, SEC Commissioner Gallagher expressed public concern that both cases "illustrate a Commission trend toward strict liability for CCOs under Rule 206(4)-7". Rule 206(4)-7 under the Advisers Act requires each SEC-registered advisory firm to appoint a CCO who will administer its compliance program. The SEC has described the appointment of a CCO as a key element of investor protection. The reality is that CCOs face real liability risk as we can see with the Blackrock and SFX enforcement actions. In this session we will discuss the increasing liability risk for CCOs, review lessons learned from recent case studies, and provide practical tips for CCOs to manage their risk.

If you are looking for practical and best practice regulatory compliance routines that you can use to gain knowledge and build a compliance culture within your firm, then Regulatory Compliance's annual compliance conference is for you.

### Who Should Attend?

- Senior Management, Presidents, CEOs, CCOs, CFOs, FINOPs
- Compliance Managers and Support Staff
- Accounting Managers, In-house Counsel, Securities Attorneys
- Private Equity Advisers, Fund Managers
- Internal Audit Staff, Trading Personnel
- Marketing and Research Staff

■ Cybersecurity Professionals

For registration and additional details, please visit:  
[ComplianceConference2015.com](http://ComplianceConference2015.com)

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