

Webinar: The SEC Is Coming, Are You Ready? How To Handle A Regulatory Examination or injury

April 25, 2012

Webinar (Meeting details are included with RSVP confirmation)

1:00 - 2:00 PM (EST)

In this practical and to the point program for investment advisers, broker dealers, and compliance professionals, discussions will include what to expect and how to respond when the SEC, FINRA, or state regulators come knocking on your door.

The following topics will be covered:

- Exam priorities for the regulator
- Authority under which regulators conduct examinations
- Different types of examinations
- Responding to the notice of examination or request for information
- Preparing for the examination
- Conduct and protocols during the examination
- Responding to requests for additional information
- Handling the regulator's preliminary findings
- Conduct and protocols after the examination

Questions? Email Sandy Bera or call 248.267.3345