SEC to Hold November 2024 Compliance Outreach Program for Investment Companies and Investment Advisers

On September 20, 2024, the Securities and Exchange Commission (SEC) announced that it would hold a virtual national seminar for investment companies and investment advisers on November 7, 2024. The seminar will be hosted jointly by the Division of Examinations, Division of Enforcement, and Division of Investment Management. A national program is held generally bi-annually, with the last seminar in November 2022. The SEC further hosts regional compliance outreach seminars for registrants located in those specific regions. The SEC held two regional seminars in 2024 held in Chicago in February and Philadelphia in May.

This national seminar is intended to help Chief Compliance Officers ("CCOs") and other senior personnel at investment companies and investment advisory firms enhance their compliance programs for the protection of investors.

The conference will include panel discussions on:

- Information security and operational resiliency;
- Registered investment company topics
- Private fund adviser topics
- Marketing rule
- Registered investment adviser topics
- Hot topics lightning round

We encourage CCOs or other Compliance Team members for all clients to participate in the national compliance outreach program. Firms do not need to register and the event is free. It is available via a live webcast that is accessible on the SEC's website on the morning of the event at www.SEC.gov. These forums are valuable for hearing from SEC staff regarding rulemaking and other regulatory priorities from SEC staff, examination focus areas, findings, and best practices, and enforcement hot topics. In addition, the program typically includes CCOs from representative firms who share best practices and compliance tips with attendees.

The SEC invites CCOs or other senior officer and are interested in speaking at future National Seminars or have suggestions for panel discussions to send an email to ComplianceOutreach@sec.gov.

See Agenda – https://www.sec.gov/compliance/complianceoutreach/compliance-outreach-program-national-seminar-agenda-110724