



INVESTMENT ADVISER ASSOCIATION NEW YORK COMPLIANCE WORKSHOP AGENDA

Wednesday, November 8, 2023

- 9:30 - 10:20 AM **Current SEC Inspection Priorities and Compliance Issues for Advisers**
- Maurya Keating, Associate Regional Director (Investment Management), SEC New York Regional Office
- 10:20 - 10:30 *Networking Break*
- 10:30 - 11:30 **Preparing for a Regulatory Deluge** - Receive practical tips and up-to-date information to help you prepare for the upcoming regulatory changes.
- Anne Choe, Partner, Willkie Farr & Gallagher LLP
 - Carlo di Florio, Global Advisory Leader, ACA Group
 - Jamie Gershkow, Partner, Stradley Ronon Stevens & Young, LLP
 - Laura Grossman, Associate General Counsel, Investment Adviser Association
- 11:30 - 12:30 PM *Networking Lunch*
- 12:30 - 1:30 **New and Notable Focus Areas in SEC Examinations** - Learn what to do to prepare for new focus areas of SEC examinations, to include Risk Alerts, off-channel communications, and more.
- Anne Choe, Partner, Willkie Farr & Gallagher LLP
 - Carlo di Florio, Global Advisory Leader, ACA Group
 - Jamie Gershkow, Partner, Stradley Ronon Stevens & Young, LLP
 - Laura Grossman, Associate General Counsel, Investment Adviser Association
- 1:30 *End of Workshop*
- 1:45 - 2:45 **Optional Peer-to-Peer Discussion**