



INVESTMENT ADVISER ASSOCIATION VIRTUAL COMPLIANCE WORKSHOP AGENDA

Thursday, September 7, 2023

- 1:00 - 1:50 PM **Current SEC Inspection Priorities and Compliance Issues for Advisers**
- Vanessa L. Horton, Associate Regional Director, SEC IA/IC Examination Program, SEC Chicago Regional Office
- 1:50 - 2:05 *Break*
- 2:05 - 3:05 **Preparing for a Regulatory Deluge** - Receive practical tips and up-to-date information to help you prepare for the upcoming regulatory changes.
- Jason E. Brown, Partner, Ropes & Gray LLP
 - Jaqi Hummel, Director (Regulatory Advisory), ACA Group
 - Valerie Mirko, Partner, Armstrong Teasdale LLP
 - William Nelson, Associate General Counsel, Investment Adviser Association
- 3:05 - 3:30 *Break*
- 3:30 - 4:30 **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.
- Jason E. Brown, Partner, Ropes & Gray LLP
 - Dan Campbell, Director, ACA Group
 - Valerie Mirko, Partner, Armstrong Teasdale LLP
 - William Nelson, Associate General Counsel, Investment Adviser Association
- 4:30 *End of Workshop*
- Jaqi Hummel, Director (Regulatory Advisory), ACA Group