



## INVESTMENT ADVISER ASSOCIATION BOSTON COMPLIANCE WORKSHOP AGENDA

Tuesday, October 10, 2023

- 9:30 - 10:20 AM **Current SEC Inspection Priorities and Compliance Issues for Advisers**
- Silvestre A. Fontes, Regional Director, Boston Regional Office, U.S. Securities and Exchange Commission
  - Kevin Kelcourse, Associate Regional Director (Examinations), Boston Regional Office, U.S. Securities and Exchange Commission
- 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.
- Joseph M. Mannon, Shareholder, Vedder Price
  - Michael McGrath, Partner, Dechert LLP
  - Craig Moreshead, Partner (Regulatory Advisory), ACA Group
  - Monique Botkin, 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.
- Joseph M. Mannon, Shareholder, Vedder Price
  - Michael McGrath, Partner, Dechert LLP
  - Craig Moreshead, Partner (Regulatory Advisory), ACA Group
  - Monique Botkin, Associate General Counsel, Investment Adviser Association
- 1:30 *End of Workshop*
- 1:45 - 2:45 **Optional Peer-to-Peer Discussion**