



INVESTMENT ADVISER ASSOCIATION CHICAGO COMPLIANCE WORKSHOP AGENDA

Wednesday, November 15, 2023

- 9:30 - 10:20 AM **Current SEC Inspection Priorities and Compliance Issues for Advisers**
- Louis Gracia, Associate Regional Director, Division of Examinations, SEC Chicago 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.
- Nick Batinich, Partner (Regulatory Advisory), ACA Group
 - Chuck Daly, Counsel, Sidley Austin LLP
 - Christine Ayako Schleppegrell, Partner, Morgan, Lewis & Bockius
 - Sanjay Lamba, 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.
- Nick Batinich, Partner (Regulatory Advisory), ACA Group
 - Chuck Daly, Counsel, Sidley Austin LLP
 - Christine Ayako Schleppegrell, Partner, Morgan, Lewis & Bockius
 - Sanjay Lamba, Associate General Counsel, Investment Adviser Association
- 1:30 *End of Workshop*
- 1:45 - 2:45 **Optional Peer-to-Peer Discussion**