

Speaking Engagements | October 18, 2024 | 4:00 PM - 5:00 PM ET

Broker/Dealer Regulation and Enforcement 2024

PLI New York

1177 Avenue of the Americas Entrance on 45th Street
New York, NY

SPEAKERS

[Ghillaine A. Reid](#)

Friday, October 18 • 4:00 – 5:00 p.m. ET

Ghillaine Reid will be speaking during the “Broker/Dealer Lawyer and Compliance Officer Roundtable” panel at PLI’s upcoming Broker/Dealer Regulation and Enforcement 2024 conference. The panel will share challenges they face managing regulatory, enforcement and compliance issues affecting their firms. Participants will leave this program with a greater understanding of the current regulatory issues and priorities facing in-house lawyers and compliance officers, and lessons to be learned from recent examinations and/or enforcement actions, including:

- Decision-making throughout the enforcement process, including self-reporting, cooperation and remediation
- Advising supervisors and employees
- Handling whistleblower complaints
- Approaches for assessing compliance program effectiveness and maintaining a robust program
- Strategies for mitigating compliance in the regulatory cross-hairs

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