

Speaking Engagements | May 13, 2021 | 7:00 AM - 8:00 AM ET

Enforcement Priorities and Emerging Issues Impacting Wealth Management Firms

SPEAKERS

[Ghillaine A. Reid](#) | [Casselle Smith](#) | [Jay A. Dubow](#) | [Angela Monaco](#)

Thursday, May 13 • 11:00 a.m. – 12:00 p.m. ET

Members of Troutman Pepper's Securities Investigations and Enforcement team will discuss emergent regulatory enforcement priorities with a specific focus on those most affecting wealth management firms. This presentation will cover what firms should expect from the SEC's Division of Enforcement in light of Gary Gensler's much anticipated confirmation as Chair of the Commission. The Troutman Pepper team will also provide an overview of key FINRA policy initiatives, as informed by the 2021 Report on FINRA's Examination and Risk Monitoring Program. Finally, the team will drill down on enforcement involving complex products and the SEC's recently established exchange-traded products initiative. With these priorities in mind, Troutman Pepper will advise on best practices for wealth management firms' compliance with the SEC and FINRA.

The training is approved for MCLE credit in California, Illinois, New Jersey (through reciprocity), New York, and Pennsylvania. Credit for other jurisdictions may be available upon request. Please email clemanagement@troutman.com to register for the program."