

Speaking Engagements | June 4, 2021 | 7:00 AM - 8:00 AM ET

FINRA's Risk Monitoring and Examination Activities

SPEAKERS

[Ghillaine A. Reid](#) | [Casselle A.E. Smith](#)

Friday, June 4 • 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 key FINRA policy initiatives, as informed by the 2021 Report on FINRA's Examination and Risk Monitoring Program. 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. Registration closes at 5 pm ET on June 2.