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SIFMA: Compliance and Legal Society - Regional St. Louis Seminar.

We cordially invite you to attend the SIFMA Compliance & Legal Society St. Louis Regional Seminar to be held at The Hilton Frontenac on Wednesday, June 5th, 2013. This one day seminar will feature presentations by leading securities regulators and industry professionals.

Topics Include:

- Working with Aging Clients-Competency, Elder Abuse and supervising “complex products”
- Banking business within broker/dealers—dealing with multiple regulators
- Public Finance/Financial Advisors
- Investment Advisors-regulatory, legal and supervisory matters
- Cyber Risk/Data Protection
- NASAA and State regulatory developments

Register at:

http://www.sifma.org/cl-stlouis2013/home/

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