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SIFMA Compliance & Legal Society New York Regional Seminar.

We cordially invite you to attend the SIFMA Compliance & Legal Society New York Regional Seminar to be held at the Conrad New York Hotel on Monday, October 28th, 2013. This one day seminar will feature presentations by leading securities regulators and industry professionals.

Topics Include:

- Current Regulatory and Examination Priorities
- Derivatives – Dodd-Frank Implementation Updates
- Status of Uniform Standard of Care
- Retail Compliance Issues
- Ethical Issues for Legal and Compliance Professionals (CLE Ethics Credit)
- Current Institutional Sales, Trading and Research Issues
- Significant Enforcement Actions
- Recent Developments in AML, FCPA and Sanctions

https://mbrservices.net/ConferenceRegistration/MeetingRegistration.aspx?meetingid=1136

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