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SIFMA C&L Regional Seminar in Charlotte - Sept. 22

Learn More About Industry Topics Impacting the Compliance & Legal Industry

Join us on September 22 at the Ritz-Carlton in Charlotte, NC to hear securities regulators and industry professionals discuss the current industry topics impacting the Compliance and Legal industry at SIFMA's C&L Regional Seminar.

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This one day program features discussions on:

- Hot Topics In Securities Enforcement
- Securities Sales to an Aging Population
- Building a Volcker Rule Compliance Program
- Update on E-Discovery Trends and Developments
- CCO Roundtable
- Managing and Maintaining the Attorney-Client Privilege in the
- Context of Examinations and Investigations
- Current Issues for Investment Advisors
- Hot Topics in AML and OFAC Compliance

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