

**MEMO# 27462**

August 15, 2013

## **SEC Announces Regional Compliance Seminars for Investment Adviser and Investment Company Senior Officers**

[27462]

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TO: OPERATIONS COMMITTEE No. 37-13

TRANSFER AGENT ADVISORY COMMITTEE No. 59-13 RE: SEC ANNOUNCES REGIONAL COMPLIANCE SEMINARS FOR INVESTMENT ADVISER AND INVESTMENT COMPANY SENIOR OFFICERS

The SEC has announced its plans to hold Compliance Outreach Program regional seminars in four cities between August 28th and November 6th of this year. Unlike the previous seminars, this series is being jointly sponsored by the SEC's Office of Compliance Inspections and Examinations (OCIE) and the Asset Management Unit of the Division of Enforcement. Also unlike the previous seminars, these are designed to include all senior offices of investment companies and investment advisers and not just CCO.

The schedule for the upcoming seminars is listed below. \* Members interested in attending any of these sessions should register for them at your earliest opportunity as attendees will be accommodated on a first-come-first-serve basis until they reach maximum capacity. This link, <https://www.sec.gov/info/cco/ccorsgeninfo2013.htm>, can be used to register for any of the following upcoming sessions:

Chicago – August 28th

September 13th

Atlanta – September 25th

San Francisco – November 6th

More information about each of these seminars, including their expected discussion topics, is available through the link as well.

Tamara K. Salmon

**endnotes**

\*One such joint seminar was conducted in Boston in May of this year. It consisted of a panel discussion of the priorities for OCIE's National Examination Program, current topics in money management regulation, and OCIE's process for assessing risks and selecting firms for examinations.

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