

**MEMO# 31089**

February 15, 2018

## **SEC Announces Next CCO Outreach Program Will Be Held in Washington, DC, on Thursday, April 12 from 8:30 a.m. to 5:30 p.m.**

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TO: ICI Members  
Investment Company Directors  
ICI Global Members  
Chief Compliance Officer Committee  
Compliance Advisory Committee SUBJECTS: Compliance  
Cybersecurity RE: SEC Announces Next CCO Outreach Program Will Be Held in Washington, DC, on Thursday, April 12 from 8:30 a.m. to 5:30 p.m.

The Securities and Exchange Commission has announced that it will hold its next National Outreach Compliance Seminar for Investment Companies and Investment Advisers on Thursday, April 12th from 8:30 a.m. to 5:30 p.m.<sup>[1]</sup> The program is jointly sponsored by the SEC's Office of Compliance Examinations, Division of Investment Management, and the Asset Management Unit within the Division of Enforcement. Attendance at the live event in Washington, DC, is limited to 500 so persons interested in attending should register sooner rather than later through this link: <https://regandsurvey.sec.gov/NoviSurvey/TakeSurveyPage.aspx?s=be9d4ac36e2c40e19efaef0ce7079d06&tsid=7c47e79f5892447ca58cfed30abfb38a&c=en-US>. The program will be webcast through the SEC's website the day of the event.

According to the agenda for the program,<sup>[2]</sup> it will include panels on each of the following topics:

- Insights from SEC Leadership Regarding Program Priorities;
- Fees and Expenses Impacting Retail Investors;
- Emerging Trends in Portfolio Management (including FinTech and Risk Management);
- Regulatory Hot Topics (*i.e.*, custody, business continuity, business continuity, ICOs and cryptocurrencies, and MiFID II;
- Cybersecurity; and
- Observations on Ways to Improve Compliance.

Tamara K. Salmon  
Associate General Counsel

**endnotes**

[1] See <https://www.sec.gov/news/press-release/2018-17>.

[2] See <https://www.sec.gov/agendas/compliance-outreach-program-national-program-ia-ic-2018-agenda>.

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