

**Developments in the Regulation of Financial Products**

September 29, 2023

9:00 am – 5:00 pm ET

**Examinations and Enforcement of the Federal Securities Laws**

9:15-10:25am

**Panelists**

* James Catano, Partner, Dechert LLP
* Natasha V. Greiner, Interim Acting Co-Director, Division of Examinations, Securities and Exchange Commission
* Jack Delaney '09, Chief Compliance Officer, Mason Investment Advisory Services, Inc.
* Kevin Gleason, Chief Compliance Officer, Mainstay Funds and InexIQ ETFs
* Anthony Kelly, Partner, Dechert LLP
* Jocelyn Near, Securities Law Program, Class of 2024

**Program description**:

**The panel will discuss recent SEC examination priorities, enforcement actions and regulatory developments as well as practical observations for legal and compliance professionals.**

**Agenda**

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| **Time** | **Segment** |
| 9:15 -9:20am | Background |
| 9:20 – 10:05am | Discussion of Examination Priorities and Enforcement Activity   * Division of Examinations Resources and Risk Alerts * Recent Regulations, such as Marketing Rule   + Valuation, Derivatives, etc. * Artificial Intelligence * Off Channel Communications * Hedge Clauses |
| 10:05 - 10:20am | Observations from CCOs |
| 10:20 - 10:25am | Concluding Remarks |

**Resource Materials:**

* [SEC Brings First-Ever Enforcement Action Against Non-Fungible Cryptocurrency Tokens](https://www.dechert.com/content/dechert/en/knowledge/onpoint/2023/9/sec-brings-first-ever-enforcement-action-against-non-fungible-cr.html) (September 2023)
* [SEC Releases 2022 Enforcement Division Results](https://www.dechert.com/content/dechert/en/knowledge/onpoint/2022/12/sec-releases-2022-enforcement-division-results.html) (December 2022)
* [Recent SEC Enforcement Actions Highlight SEC Focus on Adviser Fiduciary Duty When Recommending and Reviewing Account Types](https://www.dechert.com/content/dechert/en/knowledge/onpoint/2022/10/recent-sec-enforcement-actions-highlight-sec-focus-on-adviser-fi.html) (October 2022)
* [Compensation Clawback Crackdowns an Emerging Enforcement Focus](https://www.dechert.com/knowledge/onpoint/2022/10/compensation-clawback-crackdowns---an-emerging-enforcement-focus.html) (October 2022)
* [2023 Examination Priorities](https://www.sec.gov/files/2023-exam-priorities.pdf)
* [Risk Alert: Investment Advisers: Assessing Risks, Scoping Examinations, and Requesting Documents](https://www.sec.gov/exams/announcement/risk-alert-ia-risk-and-requesting-documents-090623)
* [Risk Alert: Examinations Focused on Additional Areas of the Adviser Marketing Rule](https://www.sec.gov/exams/announcement/risk-alert-marketing-rule-announcement-phase-3)
* [Risk Alert: Observations from Examinations of Newly-Registered Advisers](https://www.sec.gov/files/risk-alert-newly-registered-ias-032723.pdf) (March 27, 2023)
* [Risk Alert: Examinations Focused on the New Investment Adviser Marketing Rule](https://www.sec.gov/files/exams-risk-alert-marketing-rule.pdf) (September 19, 2022)