

## >>>FAIRVIEW FLASH REPORT <<<

### Compliance Outreach Program

<b>WHAT?</b>	<p>Today, the SEC released the seminar schedule for its Compliance Outreach Program that is set to take place in six different cities in the upcoming months. In particular, if you are a manager to private funds or would like to hear about the SEC's latest position on cybersecurity, one of these programs may be of interest to you. There is no cost to attend.</p> <p>Seminar attendees will obtain insight on the SEC examination program and information regarding "current topics of particular interest for the Division of Investment Management and the Enforcement Division's Asset Management Unit." Additionally, various hot-button topics panels will be featured in each of the cities, as shown below.</p>
<b>LOCATIONS AND DATES</b>	<ul style="list-style-type: none"><li>• <b>Miami – June 10:</b> Examination issues for broker-dealers that transition to the investment adviser business model, cybersecurity, and enforcement referrals</li><li>• <b>New York – June 18:</b> Examinations and staff observations regarding private funds and cybersecurity</li><li>• <b>New York – June 18:</b> The retirement initiative and examination issues regarding cybersecurity, dual registrants / advisers with affiliated broker-dealers, and investment company issues</li><li>• <b>Chicago – June 29:</b> Examination selection process and key initiatives, and issues affecting alternative and private funds</li><li>• <b>Denver – July 14:</b> Examination issues regarding custody and private funds.</li><li>• <b>Philadelphia – July 14:</b> Examination issues for private fund advisers: fees, expenses, disclosures, valuation, custody, and conflicts of interest</li><li>• <b>Los Angeles – September 11:</b> National Examination Program's retirement initiative and the option to attend a breakout session regarding examination issues faced by (1) dual registrants / advisers with affiliated broker-dealers; or (2) private fund advisers</li></ul>
<b>REGISTRATION</b>	<p>Registration is available on the <a href="#">SEC Website</a>. Seats are limited and registration will close approximately one week before the applicable seminar.</p>

Source: [SEC Seminar Registration - May 1, 2015](#)