The Securities Exchange Commission (the “SEC”) has rescheduled its compliance outreach program's national seminar for investment companies and investment advisers to noon EST on November 19, 2020. This program is intended to help Chief Compliance Officers and other senior personnel at investment companies and investment advisory firms enhance their compliance programs for the protection of investors. The program should be informative for SEC-registered advisers as well as state-registered and exempt advisers. Speakers will include senior representatives from the SEC, Office of Compliance Inspections and Examinations, Division of Investment Management, the Asset Management Unit and industry. Topics will include program priorities in 2020, business continuity and information security, issues regarding conflicts of interest, regulatory hot topics and topics specific to investment companies.

The program will be offered as a live webcast at https://www.sec.gov/ on November 19. The full SEC release can be found at: https://www.sec.gov/news/press-release/2020-249. A detailed agenda can be found at: https://www.sec.gov/ocie/compliance-outreach-program-national-seminar-111920.

If you have questions, please contact one of the attorneys in the Investment Funds & Advisers group at Shartsis: John Broadhurst, Carolyn Reiser, Jahan Raissi, Neil Koren, Jim Frolik, Christina Hamilton, David Suozzi, Anthony Caldwell or Joan Grant.

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