Session 11: Maintaining and Effective Compliance Program; New Compliance Rule for Registered Funds and Their Service Providers; Perspectives on Legal Risk Management

- Engaging the enterprise in compliance and risk management: identifying critical risks, auditing current procedures, motivating employee behavior, promoting a culture of compliance
- Chief Compliance Officer: role & responsibilities
- Fund Board: what will they be doing differently?
- Fund Policies & Procedures: their documentation, organization and maintenance
- Records management: including email and instant messaging

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Outlines

Compliance Programs of Investment Companies and Investment Advisers
by Richard W. Grant, Thomas S. Harman, Steven W. Stone, Christopher D. Menconi and Brian E. Walker

Speeches by SEC Staff
Remarks before the NRS 21st Annual Spring Compliance Conference by John H. Walch, April 18, 2006
Fiduciary Duty: Return to First Principles, by Lori A. Richards, February 27, 2006
Compliance Programs: Our Shared Mission, by Lori A. Richards, February 28, 2005
The Need for More Proactive Risk Assessment, by Lori A. Richards, April 14, 2004
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