



Virtual Investment Adviser Core Compliance Program Symposium

Presented by National Regulatory Services

April 11–14, 2023

Christian Hennion, a partner in the Financial Markets and Funds practice, will speak on the "Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More" certification curriculum presentation at 10:00 a.m. (ET) on Tuesday, April 11. Learning objectives of the course include:

- Gaining a holistic understanding of the breadth and scope of the Act to further understand its individual sections and rules
- Outlining concepts that help define the scope of the Act
- Defining how the Act allocates regulation of investment advisers to the SEC and the states
- Addressing Dodd-Frank Act mandates that impact registration of investment advisers
- Assessing the duty to supervise and how it impacts an adviser's compliance policies and procedures and individual liability

CONTACTS

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