

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

For more information, contact your Katten attorney or any of the following attorneys.



Christian B. Hennion

+1.312.902.5521

christian.hennion@katten.com

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