

### Compliance Risk Assessment

**Presented by the Fordham University School of Law**

October 10, 2024

Financial Markets and Regulation Partner and Co-Chair Carl Kennedy will present a guest lecture during the "Compliance Risk Assessment" course at the Fordham University School of Law on Thursday, October 10. The course provides an overview of the basic elements of the Compliance Risk Assessment and how the Assessment functions within an overall Compliance Program. Topics covered during the lecture will include:

- Role of an Outside Advisor Focusing on Regulatory Compliance
- Partnership Between Legal, Compliance and Outside Counsel
- Types of Legal Advisory Work Performed by Outside Counsel:
  - Information on New Registrations and Business Lines
  - Prepare Written Policies and Procedures
  - Provide Legal Memoranda/Opinions on Complex Legal Issues
  - Assist with Compliance Audits, Testing and Assessments
  - Provide Information and Legal Support in Connection With Regulatory Investigations and Enforcement Action

[Learn more about the "Compliance Risk Assessment" course.](#)

---

#### CONTACTS

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



**Carl E. Kennedy**

+1.212.940.8544

[carl.kennedy@katten.com](mailto:carl.kennedy@katten.com)

Attorney advertising. Published as a source of information only. The material contained herein is not to be construed as legal advice or opinion.

©2026 Katten Muchin Rosenman LLP.

All rights reserved. Katten refers to Katten Muchin Rosenman LLP and the affiliated partnership as explained at [katten.com/disclaimer](https://katten.com/disclaimer).