

NEW YORK REGIONAL OFFICE

# 2025 Compliance Outreach Seminar

Tuesday, November 18, 2025

COMPLIANCE

## AGENDA

9:15 – 9:25 a.m.

### Welcome and Opening Remarks

- Maurya Keating, Associate Director, NYRO Examination Program

9:30 – 10:00 a.m.

### Overview of the Division of Exams and Exam Process

- Majid Mahmood, Assistant Director (IA/IC), NYRO Examination Program
- Emanuel Asmar, Examinations Manager (IA/IC), NYRO Examination Program

10:10 – 10:40 a.m.

### FY2026 Exam Priorities

- Michael O'Donnell, Strategic Risk Coordinator (IA/IC), NYRO Examination Program
- Amritpal Sidhu, Senior Securities Compliance Examiner (IA/IC), NYRO Examination Program

10:50 – 11:20 a.m.

### Division of Enforcement Priorities and Update

- Salvatore Massa, Senior Counsel, Asset Management Unit, Division of Enforcement
- Corey Schuster, Chief, Asset Management Unit, Division of Enforcement

11:30 a.m. – 12:00 p.m.

### Common Deficiencies

- Michael Devaney, Exam Manager, (IA/IC), NYRO Examination Program
- Xiomarisy Munoz, Senior Securities Compliance Examiner (IA/IC), NYRO Examination Program
- Amritpal Sidhu, Senior Securities Compliance Examiner (IA/IC), NYRO Examination Program

12:05 – 12:35 p.m.

### Private Funds

- Daniel Faigus, Acting Co-Head, Private Fund Unit, U.S. Securities and Exchange Commission

12:40 – 1:10 p.m.

### Hot Topics

- Katherine Feld, Senior Special Counsel (IA/IC), NYRO Examinations Program
- Eric Baltuch, Examinations Manager (IA/IC), NYRO Examination Program

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**1:15 – 1:45 p.m.**

## **New Registrant Exams**

- David Eidelman, Assistant Director (IA/IC), NYRO Examinations Program
- Michael Paolo, Examinations Manager (IA/IC), NYRO Examination Program

**1:50 – 2:10 p.m.**

## **Evaluation of Compliance Programs**

- Edward Perkins, Examinations Manager (IA/IC), NYRO Examination Program
- Brendan Biolsi, Senior Staff Accountant, Private Funds Unit, NYRO Examination Program

**2:10 p.m.**

## **Concluding Remarks**

- Maurya Keating, Associate Director, NYRO Examination Program