

CCO OUTREACH

Regional Seminar

POSSIBLE TOPICS 2007

1. Examination Process
2. Risk Assessment Process
3. Portfolio Management
4. Brokerage Arrangements, Best Execution, and Trade Allocation
5. Personal Securities Transactions
6. Pricing and Valuation
7. Books and Records
8. Disclosures and Filings
9. Marketing, Performance Advertising, and Distribution
10. Safety of Client Assets

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