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***CCOutreach BD Regional Seminar***  
**June 3, 2010**

Federal Reserve Bank  
Boston, MA

**Registration** (8:30 a.m. – 9:00 a.m.)

**I. Welcome** (9:00 a.m. – 9:15 a.m.)

**II. SEC and FINRA Examination Priorities and Common Findings** (9:15 a.m. – 10:15 a.m.)

Panelists discuss 2010 examination priorities and highlight common deficiencies found during exams. CCOs also address how their firms prepare for an effective examination and how they use examination results to enhance their compliance programs.

**Break** (10:15 a.m. – 10:30 a.m.)

**III. Detecting and Preventing Fraud and Asset Verification** (10:30 a.m. – 11:30 a.m.)

Panelists discuss widely used practices in detecting and preventing misappropriation and fraud. The panelists address a range of fraud control issues, including elements of fraud, procedures for detecting fraud and segregation of duties. The panel also discusses custody asset verification examinations and expectations for document production.

**Break** (11:30 a.m. – 11:45 a.m.)

**IV. Topics in Supervision** (11:45 a.m. – 12:45 p.m.)

Panelists discuss issues for firms to consider when reviewing supervisory and compliance programs, including the following high-priority areas:

- Branch office supervision
- Due diligence and new products reviews
- Supervision in small firms

The panel also discusses select new rules, rule amendments, common supervisory issues noted by regulators and issues arising from BD and IA dual registration.

**V. Closing Remarks** (12:45 p.m. – 1:00 p.m.)