



---

***CCOutreach BD Regional Seminar***  
**April 20, 2010**

Pan American Life Conference Center  
New Orleans, LA

**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.)

Regulators discuss examination priorities in the current environment, highlight common deficiencies found during routine exams and review the new asset verification process. CCOs discuss 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. New Products and Fraud Detection** (10:30 a.m. – 11:30 a.m.)

Panelists address due diligence requirements and techniques with regard to the review of new products, including direct placements and oil and gas offerings. CCOs and regulators also focus on practices related to fraud detection and prevention.

**Break** (11:30 a.m. – 11:45 a.m.)

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

Panelists discuss the high-priority topics for firms to consider when reviewing supervisory and compliance programs and cover the latest on reviewing and updating firms' supervisory systems and risk management policies and procedures. Panelists also discuss select new rules, rule amendments and common supervisory issues noted by regulators.

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