



## CCOutreach Seminars

For Chief Compliance Officers of SEC-Registered Advisers Located Abroad

The staff from the U.S. Securities & Exchange Commission's ("SEC") Office of Compliance Inspections and Examinations invite you to join us for discussions on the risk identification and assessment process used by SEC examiners and how this process can help you administer effective compliance programs. The SEC staff will also discuss the general examination process as well as information and documents we request, various analyses that may be performed using this information, frequent SEC examination findings, and factors to consider when establishing compliance controls. You will be able to ask questions and get answers from experienced, senior SEC staff.

If you are interested in attending a seminar, please email [CCOutreach@sec.gov](mailto:CCOutreach@sec.gov) with the following information: seminar preference; attendee name, title, and email address; and firm name.

<b>Location:</b>	Chater House, 8 <sup>th</sup> Floor 8 Connaught Road Central Hong Kong
<b>Phone:</b>	852 2840 9222
<b>Time:</b>	Tuesday, December 4, 2007 9:30 am to 4:30 pm
<b>Registration Required By:</b>	November 23, 2007
<b>Hosted by:</b>	 SECURITIES AND FUTURES COMMISSION 證券及期貨事務監察委員會

<b>Location:</b>	"SEBI- BHAVAN"; Plot No.C4-A,G' Block Bandra Kurla Complex, Bandra(East) Mumbai, India
<b>Time:</b>	Thursday, December 6, 2007 9:30 am to 3:30 pm
<b>Registration Required By:</b>	October 29, 2007
<b>Hosted by:</b>	 भारतीय प्रतिभूति और विनियम बोर्ड Securities and Exchange Board of India

*Admission is Free - Attire is business casual*