

Basil Godellas Speaks at Updating Your Compliance Program

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Partner Glen Barrentine spoke at Thompson Finance's [Updating Your Compliance Program: Exam Priorities and Hot Topics for Investment Managers in 2017](#) on February 28.

As the SEC's Office of Compliance Inspections and Examinations (OCIE) conducts the SEC's National Examination Program (NEP), the 2017 results will have a profound impact on rule-making initiatives, industry practices, how risks are identified and monitored, and how enforcement officials pursue misconduct by investment managers. At the same time, the SEC has identified "hot" new priorities for investment management compliance.

Topics discussed during the webinar included:

- How OCIE's Exam Priorities for 2017 affect your compliance program
- The SEC's hottest compliance areas for investment managers, including insider trading, anti-money laundering, whistleblowing, cybersecurity, conflicts of interest and more
- Best practices for compliance and risk prevention that can help you avoid needless exposure to penalties and lawsuits
- How to allocate compliance resources most effectively given how "hot topics" continue to change

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