

National Society of Compliance Professionals, Inc.
East Coast Regional Membership Meeting
New York, NY
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Dialogue With Area Regulators

Ben A. Indek
Moderator
Morgan Lewis & Bockius LLP

Norm Champ
Securities and Exchange Commission

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Agenda

- Examinations: The Post-Madoff Era
- Current Examination Priorities
- Examination Findings
- Referrals to Enforcement
- Social Networking
- Use of Fund Money to Pay Expenses
- FINRA Proposal re Registration of Back-Office Personnel
- Audience Questions
- Compliance Officers: Expectations and Liabilities

Examinations: The Post-Madoff Era



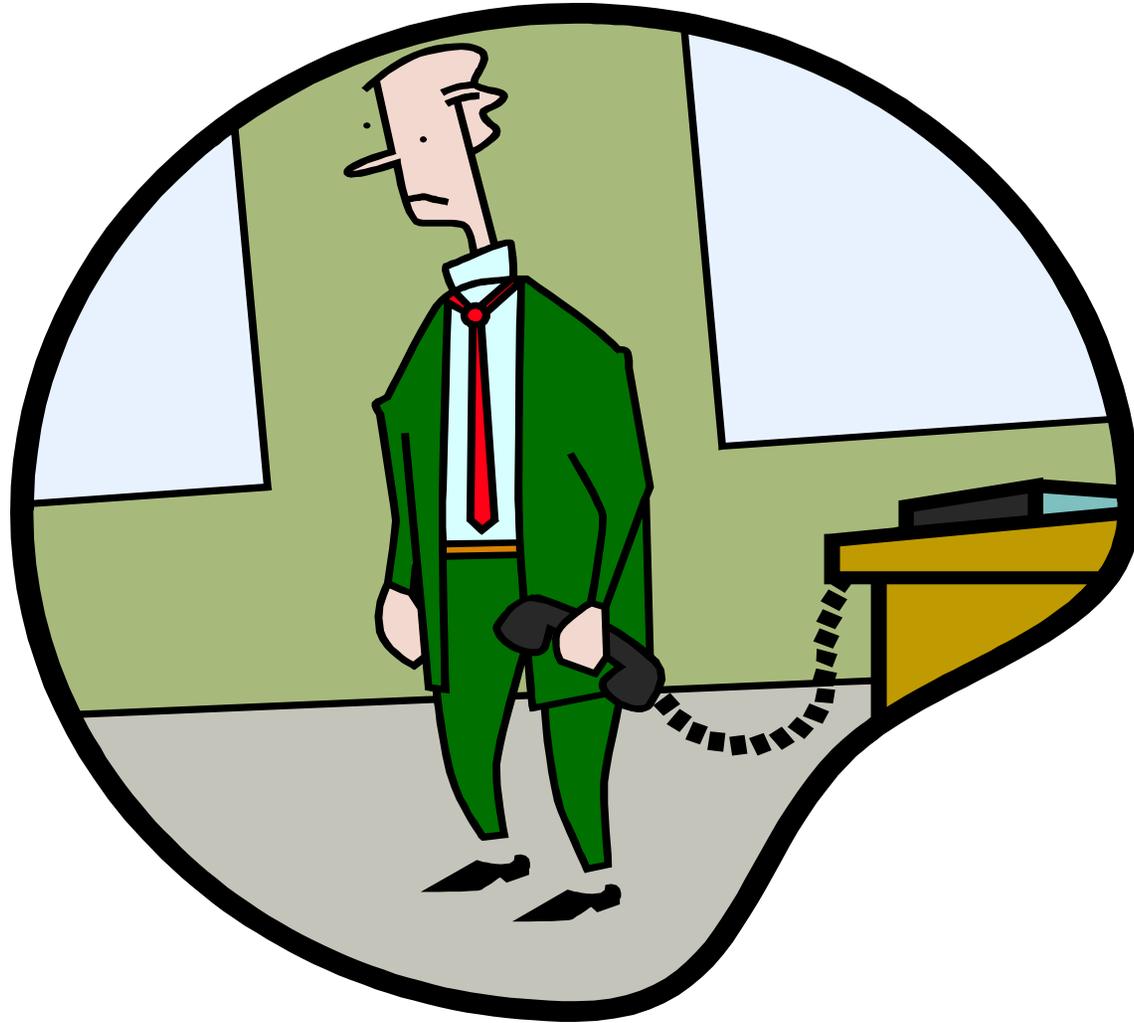
Current Examination Priorities



Examination Findings



Referrals to Enforcement



Social Networking



Use of Fund Money to Pay Expenses



FINRA Proposal re Registration of Back-Office Personnel



Audience Questions



Compliance Officers: Expectations and Liabilities

