



# C&L 2020 ANNUAL SEMINAR

MARCH 15-18 | C&L PROGRAM TRACKS



## Banking (BKG)

Prudential Regulators' View of Compliance Programs  
Current Issues in Bank Regulation

## Capital Markets (CPM)

SEC Security Based Swap Dealers - Implementation Challenges  
Compliance Issues in Investment Banking  
Cross Asset Electronic and Algorithmic Trading  
Volcker 2.0 and Beyond  
Institutional Cash Equity and Equity Derivatives - Key Sales and Trading Issues  
Compliance Considerations in Institutional Fixed Income  
Research Reimagined  
Recent Changes and Developments in Prime Brokerage and the Servicing of Hedge Fund Clients  
Legal and Compliance Considerations for CFTC Swap Dealers  
Establishing and Maintaining a Robust Cross-Border Program  
Investment Banking Legal - Challenges and Solutions

## Compliance (CPL)

Global Chief Compliance Officer Outlook  
Compliance and Legal Challenges of Social Media and New Communications Technology  
Regulatory Exams & Engagement  
Optimizing Compliance Risk Management - Risk Assessments, Monitoring and Testing  
Current Developments in AML  
In the Weeds with Cannabis Regulation  
Protecting Firm and Client Information - MNPI and Client Confidentiality  
Ask FINRA: A Panel of Senior FINRA Officials Responds to Your Questions  
Compliance Coverage of Non-Revenue Areas (Finance, Risk, Ops&Tech)  
21st Century Surveillance - New Tools and Heightened Expectations  
Improper Influence: Bribery, Political Contributions, Gifts and Entertainment  
Meeting the Challenges of Privacy and GDPR Compliance  
Protecting Against Fraud, Mis-appropriation and Other Schemes

## Ethics (ETHICS)

Ethical Considerations and Current Developments in Diversity & Inclusion  
Conduct Risk Management & Ethical Culture [ETHICS CLE]  
Everyday Legal Ethical Issues [ETHICS CLE]



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## Litigation, Enforcement & Legal (LIT)

- Whistleblowers and their Claims: Best Practices in Responding to Allegations
- Negotiating Skills: Learn from the Experts
- Litigation Update: Regulatory and Criminal
- Internal Investigations: A Simulation
- General Counsel Roundtable
- Litigation Update: Collusion, Manipulation and Deceptive Trading Practices
- Civil Litigation Update: Securities Class Actions and other Major Civil Cases
- Handling a Regulatory Investigation: In House and Outside Counsel Perspectives
- Private Client Enforcement Developments
- The Supreme Court and the Financial Services Industry
- Privilege and Work Product Protections: Ethical Considerations for In-House Teams
- The Supreme Court and the Financial Services Industry
- Litigate or Settle? - Current Considerations in Handling Enforcement Matters Against Firms and Individuals
- Selecting and Managing Outside Counsel and Other Vendors
- Employee Misconduct: Managing the Intersection of Tracking, Escalation, Discipline and Self-Reporting Programs
- Litigating with Current Employees: Risks, Strategies and Best Practices
- State Regulation: Filling Gaps or Challenging Federal Jurisdiction?
- Investment Banking and Capital Markets Enforcement Issues and Developments
- Employment Issues for Financial Services Firms: Where Are We Now?

## Retail, Private Client & Arbitration (RPC)

- Arbitrating in the FINRA Forum
- SEC Regulation Best Interest
- Doing More With Less: Challenges of the Smaller Compliance and Legal Department
- Arbitration in 2020
- Recruiting Challenges and Opportunities
- Diminished Capacity Issues for Investors
- Your Information Security Has Been Breached - What Now?
- Private Client Firms: Key Legal and Regulatory Issues

## Technology (TCH)

- Cybersecurity Update: Combating an Evolving Threat
- Hey, You, Get Onto Our Cloud: Data Management and Record Storage Issues
- AI, Data Analytics, Robotics and Machine Learning in Compliance
- Digital Services Platforms: Compliance & Legal Challenges