

Reg BI Current Developments: Family Office Relief, New SEC Exam Priorities and More

THANK YOU TO OUR SPONSORS



Bates Group LLC is a leading financial services consulting firm, providing end-to-end solutions on legal, regulatory, and compliance matters for financial services firms and their counsel. Bates' professional staff and 165+ financial industry experts offer services in litigation consultation and testimony, regulatory and internal investigation matters, compliance solutions, AML and financial crimes, forensic accounting, and damages consulting.

Bates Compliance, our compliance consulting practice, delivers guidance and tailored compliance consulting solutions to our broker-dealer, investment adviser and hybrid firm clients on an as-needed or ongoing basis. Our team—made up of experienced senior compliance, legal and former regulatory professionals—drafts and tests policies, procedures, and supervisory and compliance processes, recommending and implementing changes based on leading practices to enhance compliance and supervisory systems and to remediate regulatory, litigation and internal audit findings.

With nearly four decades of working with leading law firms, financial services companies and regulatory bodies, Bates is here to support you every step of the way.

CONTACT

contact@batesgroup.com
www.batescompliance.com



WILMER CUTLER PICKERING HALE AND DORR LLP ®

WilmerHale provides legal representation across a comprehensive range of practice areas that are critical to the success of our clients. We are 1,000 lawyers strong, with 13 offices in the United States, Europe and Asia. We practice at the very top of the legal profession and offer a cutting-edge blend of capabilities that enables us to handle deals and cases of any size and complexity. Our Securities and Financial Services regulatory team advises leading financial market participants on a range of issues related to securities and derivatives regulation, financial institution and bank regulation, capital markets, compliance and enforcement. Drawing on their in-depth understanding of the industry and the markets, our lawyers counsel clients on sales and trading matters, assist in structuring new products and services, formulate public policy strategies, conduct internal reviews, identify and manage conflicts of interest, and advise on the development of compliance and supervisory programs.

CONTACT

Elizabeth Butcher, Client Development Director WilmerHale | 1875 Pennsylvania Avenue NW, Washington, DC 20006 (202) 247-4673 | elizabeth.butcher@wilmerhale.com www.wilmerhale.com