

Webinar on

Preparing a Financial Industry Compliance Manual and Code of Ethics and the Overall Annual Compliance Review

Learning Objectives

- Understand what is required*
- Creating a manual from Scratch vs. Off the Shelf*
- Maintaining the Manual*
- Overall Firm Involvement*
- The Annual Review Process and Testing the Manual*
- How often to update the Manual*
- What's required*



This webinar includes the Compliance program shall be designed to prevent, detect, and correct violations of the Advisers Act.

PRESENTED BY:

Lisa M. Marsden, IACCP[®], is the President and Founder of Coulter Strategic Services. Coulter Strategic Services provides Financial Advisors and compliance consulting firms with compliance and project management services. Prior to that, Ms. Marsden was in the C-Suite as a CTO, COO, and CCO for Registered investment advisors in Florida.

On-Demand Webinar

Duration : 60 Minutes

Price: \$200

Webinar Description

Building or Strengthening your firm's Compliance Program? Attend our virtual seminar on the best practices for preparing the manual, code of ethics and conducting the required annual review. You will receive tools to help build or strengthening your compliance program. The Compliance program shall be designed to prevent, detect, and correct violations of the Advisers Act. The overall compliance program must review those policies and procedures at least annually for their adequacy and the effectiveness of their implementation, and designate a chief compliance officer ("CCO") to be responsible for administering the firm's policies and procedures (under the "Compliance Rule" — Rule 206(4)-7). In order to have an effective Compliance Program Policies and Procedures must be created.

Rule 17j-1. Effective Date: August 31, 2004. Compliance Date: January 7, 2005. Effective January 7th, 2005 registered investment advisers, had to comply by adopting and implementing written policies and procedures that are reasonably designed to prevent violations of the Advisers Act.



Who Should Attend ?

Audit and Compliance Personnel/Risk Managers

Operations Managers

Chief Operating Officers

CPA Firms, Attorneys

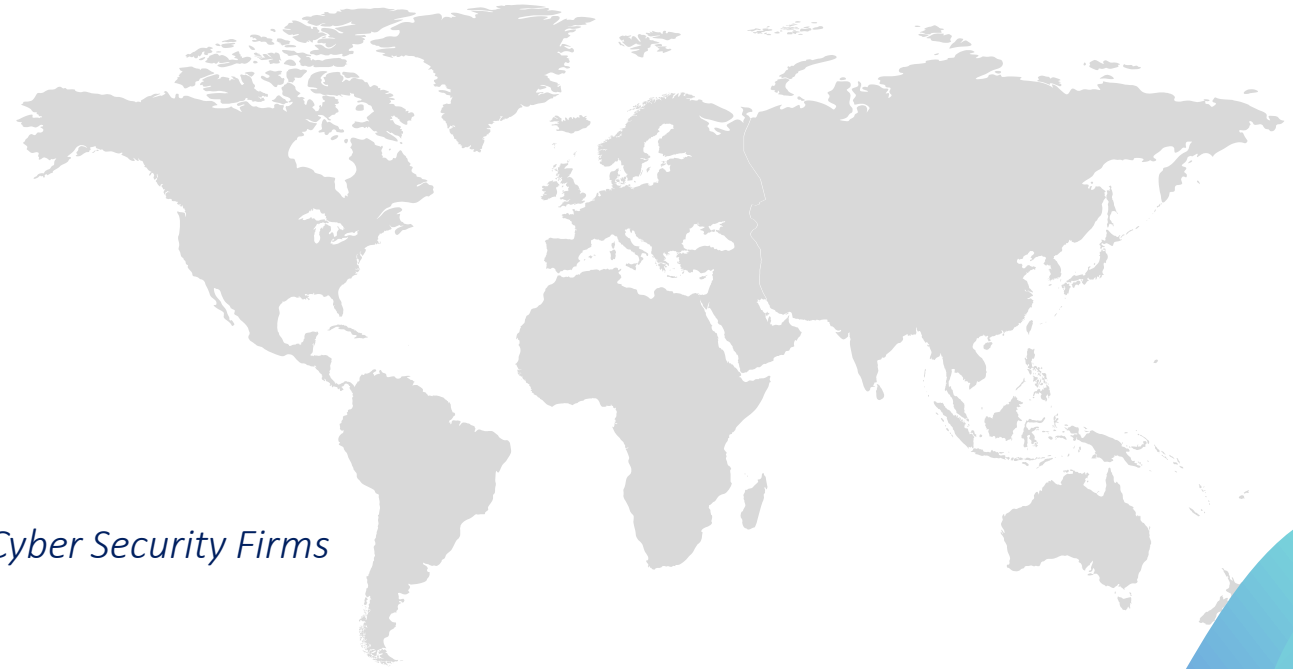
Investment Management/Portfolio Managers

Compliance Consulting Firms, Outsourced IT Firms/Cyber Security Firms

Client Service Managers

Human Resources Personnel in Finance or IT

IT, Accountants, Attorney's, Investment Management and Financial Planning firms, Compliance firms



To register please visit:

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