

# SEC Announces 2020 National Compliance Outreach Seminar for Investment Companies and Investment Advisers

**The Capital Commitment Blog** on **October 29, 2020**

On October 7th, 2020, the Securities and Exchange Commission (SEC) [announced](#) the rescheduled date of its 2020 national compliance outreach seminar for investment companies and investment advisers. This program is intended to help Chief Compliance Officers and other senior personnel at investment companies and investment advisory firms enhance their compliance programs. The SEC's Office of Compliance Inspections and Examinations (OCIE), Division of Investment Management (IM), and the Asset Management Unit (AMU) of the Division of Enforcement jointly sponsor the [compliance outreach program](#). The national seminar will be held virtually on the afternoon of Thursday, November 19th, 2020 via a live webcast from the SEC's Washington, D.C., headquarters from noon until 4:50 p.m. EST.

The [agenda](#) for the national seminar will include a discussion of OCIE, IM, and AMU program priorities in 2020, business continuity and information security, issues regarding conflicts of interest, regulatory hot topics, and topics specific to investment companies. Speakers will include senior representatives from the SEC, OCIE, IM, AMU, and industry. All live webcast attendees may view the program real-time, access presentation materials, and submit questions to the speakers during the presentation.

Investment advisers and investment company senior officers do not need to register to attend the live webcast, which may be accessed via [SEC.gov](#) on the day of the event. For more information, or to propose questions for the panels, prospective attendees can contact the SEC staff at [ComplianceOutreach@sec.gov](mailto:ComplianceOutreach@sec.gov).

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- **Joshua M. Newville**

Partner