



Peter Burgess <peterbnyc@gmail.com>

Confirm your place for the Fund Intelligence Briefing, July 21: SEC's Pay-To-Play rules

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Fund Intelligence <events@pageantmedia-email.com>
Reply-To: reply@pageantmedia.email.com
To: peterbnyc@gmail.com

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providing information, networking and
insight for the mutual fund industry

Pay-To-Play: Don't Get Caught Out This Election Season

Thursday July 21 | The Lambs Club | W 44th St, New York
08:30am - 10:15am

Dear Peter,

Join Fund Intelligence on **July 21** for our latest briefing, where the topic will be **Pay-To-Play: Don't Get Caught Out This Election Season**.

The Securities and Exchange Commission's pay-to-play rule isn't new, but investment advisers are still struggling to get to grips with the range of compliance and operational issues it presents.

Issues for discussion will include:

- How can firms respond to inadvertent violations of the rule and get relief from the SEC?
- How should you frame your policies and procedures, and what are the operational implications?
- Exactly who is covered by the rule, and how can you best train them to comply with it?

REGISTER NOW

If you are not an existing Fund Intelligence member, your first attendance is complimentary. After registering, you will be contacted by a member of the team.

Fund Intelligence is a series of information, data and networking groups providing key business strategy insight for professionals working in and around the US mutual fund sector.

It comprises Compliance Reporter, Fund Action, Fund Directions, Fund Operations, Fund Technology and Private Asset Management.



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