

***CCOutreach* Interactive Broadcast Seminar**  
**Focus: Compliance Issues Facing Small Investment Advisers**  
**September 16, 2008**  
**12:30pm – 3:30pm Eastern**

SEC-Registered investment advisers, regardless of their assets under management or the number of staff they employ, are subject to the regulatory requirements of the Investment Advisers Act of 1940. During this *CCOutreach* seminar, SEC examiners will share techniques the staff uses to develop an inventory of risk during an examination of a small adviser and identify effective processes the staff has seen to mitigate and manage those risks. Using these techniques and processes, small adviser CCOs will be better equipped to evaluate the effectiveness of their firms' compliance programs.

**Agenda**

- 12:30 – 1:00 How Can I Maintain an Evergreen Inventory of Risks?
- 1:00 – 1:35 What are Some Straightforward Processes for Mitigating and Managing Certain Risks in My Firm's Inventory?
- 1:35 – 2:15 How Can I Evaluate the Effectiveness of My Firm's Compliance Program?
- 2:15 – 2:30 Break
- 2:30 – 3:00 What Records Typically Document That an Annual Review of Firms' Compliance Policies and Procedures Was Conducted?
- 3:00 – 3:30 Questions