How to Prepare for an SEC Exam

CounselWorks and Compliance Science will present a complimentary webinar providing practical guidance on preparing for an SEC examination, conducted by Kathleen Malone, a former SEC examiner.

The webinar will be Tuesday, June 23, beginning at 12:30 p.m. Eastern time.

Presenters will discuss how to prepare a presentation that outlines your strategy and specific risks, in order to lay the right foundation for the examination staff from the outset. Other topics will include managing the staff, documenting requests and deficiency letters, and data analytics.

Register for the webinar.