

# Liability of Compliance Officers at Financial Institutions

Practical Law and Norton Rose will present a webinar titled “**Liability of Compliance Officers at Financial Institutions**” on Wednesday, May 3, 2017, beginning at 1 p.m. EDT.

CLE credit is available in multiple states.

In recent years, U.S. securities regulators have increasingly focused on the regulated entities’ compliance personnel, holding many individually liable for the deficiencies in their firm’s handling of its compliance obligations, the company says on its website. The regulators deem compliance officers the gate keepers whose efforts should detect and prevent securities laws violations at the firm.

The free 75-minute webinar that will discuss recent trends and issues in this field. The webinar presenters will discuss several topics, including:

- Different approaches US securities regulators use in assessing individual liability of compliance personnel.
- Recent cases against individual compliance officers by various regulators.
- Best practices for minimizing the risk of a regulatory action or sanctions against compliance professionals at a broker-dealer or investment advisor.

A short Q&A session will follow.

Presenters:

Kevin James Harnisch, Partner, Norton Rose Fulbright US LLP

Ilana Beth Sinkin, Associate, Norton Rose Fulbright US LLP

Vlad Pavlovic, Senior Legal Editor, Practical Law Litigation  
(Moderator)

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