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Together with, **Ellenoff Grossman & Schole LLP**, we invite you to join us for a **Compliance Roundtable**

**Wednesday**  
**March 30, 2016**  
**8:00 - 11:30 AM (EDT)**

**Meeting Location:**  
New York Athletic Club  
180 Central Park South  
New York, NY 10019  
[\(Dress Code Enforced\)](#)

[CLICK HERE to Register - RSVP required](#)

Registration is required to gain access to the meeting.  
Join us for a casual conversation between our experts on the following topics:

- **FINRA and SEC Regulatory Priorities**
- **AML Activity & CIP**
- **CCO Liability & Risk**
- **Case Studies/Real Life Practical Application**

**Who Should Attend?** This session is open to RIA and BD compliance professionals. Please share this invitation with your colleagues.

Light refreshments will be provided.

**Stephen Murphy**, VP of BD Services for NCS and Regulatory Compliance will lead a conversation with **Adrienne M. Ward** and **William Peterson** both of Ellenoff Grossman & Schole LLP. They will be joined by guest speaker **Susan Berger** who consults under contract with U.S. Treasury Office of Technical Assistance to help set up AML anti-corruption programs.

Sponsored by:



[CLICK HERE to Learn More About our Panelists](#)

**Press Release Oct. 27, 2015:  
National Compliance Services and Regulatory Compliance  
join forces to form full-service compliance consulting  
powerhouse**

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