



Getting Inside the Head of SEC Examiners:

What the SEC Looks for During Compliance Exams

K C M B A**Kansas City Metropolitan Bar Association***Continuing Legal Education*

Date: Friday, November 2, 2007
Location: Blackwell Sanders LLP,
4801 Main Street, Ste. 1000
Kansas City MO 64112

Registration & Lunch: 11:30 am **Seminar:** noon to 1:30 pm

Sponsored by Blackwell Sanders LLP and KCMBA
1.5 CLE Hours in Missouri and Kansas (pending)

Fees: \$30 for KCMBA Member \$55 for Non-member

Moderator: John Lively, Blackwell Sanders LLP

In this seminar, Willie and Kimberly will discuss exam program priorities, how firms are selected for exams, the examination process, document requests, interviews, testing, deficiency letters and follow up, Coon exam findings, deficiencies and violations, compliance programs, risk assessment and annual review as well as other hot topics.

Speakers: **Willie Davis**, Branch Chief
Chicago Regional Office, Division of Investment Management
Securities Exchange Commission

Kimberly Garber, Associate Regional Director
Examination Program
Ft. Worth Regional Office
Securities Exchange Commission

Seminar Information

- **Payment** must accompany registration. KCMBA accepts cash, check or American Express, MasterCard or VISA. No admission ticket or confirmation will be sent.
- **Cancellations/No Shows:** Those who cancel at least 24 hours prior to the seminar will receive a credit voucher to use toward any KCMBA program for one year.
- **Special Needs:** If you need special accommodations, please contact KCMBA prior to the program date at (816) 474-4322.
- **Parking:** Parking is available in the Plaza Library parking garage. Use the Main St. entrance and park in any open spaces on the ramp or higher.
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- Mail registration form with check or credit card information to KCMBA, 1125 Grand Blvd., Ste. 400, Kansas City, MO 64106.
- Phone registration with credit card to KCMBA at (816) 474-4322.
- Fax registration with credit card to KCMBA at (816) 474-0103.
- Visit the CLE Registration page at www.kcmba.org to register on-line.

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