



Gatekeepers—including attorneys, accountants, auditors, and compliance officers—play an important role in ensuring the integrity of the financial markets and protecting investors. Prosecutors and regulators have repeatedly made public statements warning gatekeepers that they are under scrutiny and will face individual liability if they fail to uphold their gatekeeping responsibilities.

In this CLE, [Margaret Meyers](#) and [Rachel Mechanic](#) discussed recent statements and guidance that seem to raise the stakes for gatekeepers in the financial sector. They also examined some recent cases that shed light on the factors that regulators consider when deciding whether to charge individual gatekeepers. Finally, they talked about best practices for individuals trying to fulfill their gatekeeping function.

- Statements by regulators that gatekeepers are an enforcement priority
- Proposed guidance for Chief Compliance Officer liability

- Recent enforcement actions against gatekeepers
- Best practices for gatekeepers

Thursday, October 17, 2024

10:00 a.m. – 11:00 a.m. PT

11:00 a.m. – 12:00 p.m. MT

12:00 p.m. – 1:00 p.m. CT

1:00 p.m. – 2:00 p.m. ET

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Speakers include:

- [Rachel Mechanic](#)
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[The Compliance Collective Webinar Series](#)

Speakers



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