Introductory

- Anti-Money Laundering 2018: Risks, Due Diligence and Compliance in an Evolving Legal and Technological World
- Anti-Money Laundering 2019: Risks, Due Diligence and Compliance in an Evolving Legal and Technological World
- Basics of Mutual Funds and Other Registered Investment Companies 2018
- Basics of Mutual Funds and Other Registered Investment Companies 2019
- Broker/Dealer Regulation and Enforcement 2018
- Broker/Dealer Regulation and Enforcement 2019
- Broker-Dealer Retail Wealth Management 2018: Current Legal and Compliance Issues Facing Dual Registrants
- Fiduciary Investment Advice 2018
- Fiduciary Investment Advice 2019
- Financial Services RegTech and Regulatory Compliance Forum 2018
- Financial Services RegTech and Regulatory Compliance Forum 2019
- Fundamentals of Broker-Dealer Regulation 2018
- Fundamentals of Broker-Dealer Regulation 2019
- Fundamentals of Investment Adviser Regulation 2018
- Fundamentals of Investment Adviser Regulation 2019
- Fundamentals of Swaps & Other Derivatives 2018
- Fundamentals of Swaps & Other Derivatives 2019
- Private Placements and Hybrid Securities Offerings 2018
- Private Placements and Hybrid Securities Offerings 2019

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(Introductory continued)

- Securities Law and Practice 2018: How the SEC Works
- Securities Law and Practice 2019: How the SEC Works
- Understanding Financial Products 2018
- Understanding Financial Products 2019

Intermediate

- Anti-Money Laundering 2018: Risks, Due Diligence and Compliance in an Evolving Legal and Technological World
- Anti-Money Laundering 2019: Risks, Due Diligence and Compliance in an Evolving Legal and Technological World
- Broker/Dealer Regulation and Enforcement 2018
- Broker/Dealer Regulation and Enforcement 2019
- Broker-Dealer Retail Wealth Management 2018: Current Legal and Compliance Issues Facing Dual Registrants
- Fiduciary Investment Advice 2018
- Fiduciary Investment Advice 2019
- Financial Services RegTech and Regulatory Compliance Forum 2018
- Financial Services RegTech and Regulatory Compliance Forum 2019
- Hedge Fund and Private Equity Enforcement & Regulatory Developments 2018
- Hedge Fund and Private Equity Enforcement & Regulatory Developments 2019
- Hedge Fund Management 2018
- Hedge Fund Management 2019
- Investment Management Institute 2018
- Investment Management Institute 2019
- New Developments in Securitization 2018
- New Developments in Securitization 2019
- Nineteenth Annual Private Equity Forum
- Private Fund Regulatory Developments and Compliance Challenges 2018
Private Fund Regulatory Developments and Compliance Challenges 2019
Private Placements and Hybrid Securities Offerings 2018
Private Placements and Hybrid Securities Offerings 2019
Taxation of Financial Products and Transactions 2018
Taxation of Financial Products and Transactions 2019
Twentieth Annual Private Equity Forum
Understanding Financial Products 2018
Understanding Financial Products 2019

Advanced

Advanced Swaps & Other Derivatives 2018
Advanced Swaps & Other Derivatives 2019
Private Fund Regulatory Developments and Compliance Challenges 2018
Private Fund Regulatory Developments and Compliance Challenges 2019
Private Placements and Hybrid Securities Offerings 2018
Private Placements and Hybrid Securities Offerings 2019

One-Hour Briefings

Artificial Intelligence for Contracts and Transactions in the Financial Services Sector
Lucia v. SEC: Supreme Court Holds SEC ALJs Are Not Properly Appointed Under the U.S. Constitution
M&A in the Age of Trump: The Good, the Bad and the Ugly
Mediating Complex Financial Services Disputes
For More Information:
www.pli.edu
800.260.4754

(One-Hour Briefings continued)

• SEC’s Fiduciary Rulemaking — The Proposed Rules Are Unveiled
• Securities Fraud Litigation Against Life Sciences Companies – Recent Trends
• Shareholder Litigation Developments and Trends

Publications

• Broker-Dealer Regulation, Second Edition
• Covered Bonds Handbook
• Derivatives Deskbook: Close-Out Netting, Risk Mitigation, Litigation, Second Edition
• Exempt and Hybrid Securities Offerings, Third Edition
• Financial Services Regulation Deskbook
• Hedge Fund Regulation, Second Edition
• Mutual Funds and Exchange Traded Funds Regulations, Third Edition
• Private Equity Funds: Formation and Operation, Second Edition
• Variable Annuities and Variable Life Insurance Regulation, Second Edition