

Compliance Connections Webinar: 2021 Year End Review and Critical Compliance Reminders

September 29, 2021

During this webinar our panelists discussed year-end compliance priorities for Broker Dealers, including:

- Critical Testing and Inspections
- Continuing Education
- MSRB End of Year Requirements
- Registration Renewals
- Last Call Reviews
- Coming Up Early 2022

To instantly listen to the replay, enter your information below.