

Morgan Stanley/MBBA/ACC Career in Compliance Program

Monday, May 6, 2013

..... ***Sponsored by Morgan Stanley, The Metropolitan Black Bar Association and The Association of Corporate Counsel's Greater New York Chapter.***

Please join our panel of veteran compliance officers for a lively discussion of “A Career as a Compliance Officer in Financial Services.” The panelists and other senior compliance officers will be on hand before and after the program to network with attendees. Following introductory remarks by Morgan Stanley’s Global Head of Compliance, Morgan Stanley’s Chief Compliance Officers for its institutional and retail broker-dealers will lead consecutive panels covering:

An Overview of Compliance

- Advising the business
- Interacting with regulators in various contexts
- Engaging in the rulemaking process
- Trouble shooting
- Communicating with customers
- Participating in the development of new products and businesses
- Training, drafting policies/procedures, testing, monitoring and more

Career Strategies for Success

- What makes compliance compelling?
- Insights into the profession
- The respective roles of compliance, the business and other control functions
- Career path possibilities
- Networking and career building

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Lead Speakers:

Stuart Breslow, Global Head of Compliance, Morgan Stanley

Dan Kosowsky, Chief Compliance Officer, Morgan Stanley Wealth Management

Rose-Anne Richter, Chief Compliance Officer, Morgan Stanley & Co.

Time:

5:30 p.m. – Check in, networking, refreshments served

6:00 p.m. – Introduction and panels

7:45 p.m. – Brief additional networking period

Location: Morgan Stanley Headquarters, Main Board Room, 41st Floor, 1585 Broadway, New York, NY 10036

Cost: Free, space is limited and reservations are required for guaranteed admission

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RSVP: <http://2013careersincompliance.eventbrite.com/>

