

"Data Analytics and Financial Services Compliance Programs," Practising Law Institute's Financial Services RegTech and Regulatory Compliance Forum 2021

Event

November 12, 2021

On November 15, Partner Charles D. Riely will join the Practising Law Institute's Financial Services RegTech and Regulatory Compliance Forum 2021 for a panel discussion titled "Data Analytics and Financial Services Compliance Programs." The conversation will cover the ways US regulators such as the Securities & Exchange Commission are using data analytics, best practices for providing information to regulators, and potential pitfalls companies should be aware of. The panel will begin at 2 pm ET. To learn more, and to register, please [click here](#). Mr. Riely is a partner in the Investigations, Compliance, and Defense Practice. As a lawyer at the SEC for more than a decade, he handled a number of significant matters, working extensively with criminal authorities in parallel investigations, and developing deep experience in all aspects of the federal securities laws. Among other matters, he worked on investigations and enforcement cases involving broker dealers' obligations under the Securities and Exchange Act of 1934 to file suspicious activity reports (FinCEN). He also handled matters involving "spoofing" and other forms of market manipulation.

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Related Capabilities

Data Privacy and Cybersecurity

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