

## IN THE NEWS AUGUST 2023



### **\*REMINDER\* Off Channel Webinar August 24, 2023**

Asgard's own Jonathan Hurd, CEO, CAMS will be hosting his first ever webinar on August 24, 2023 at 11am regarding off channel communications. You don't want to miss this! (Read more to sign up)

[Read More](#)



### Five things every IA Firm CCO needs to know

Have you ever wondered what areas of compliance the SEC is most focused on during their routine or limited scope exams?

[Read More](#)



### SEC fears some B/Ds fall short in Anti-Money Laundering Compliance

In a new risk alert, SEC examiners stressed that firms have appropriate staffing to comply with AML regulations, especially after the wave of sanctions following Russia's invasion of Ukraine.

[Read More](#)



### Former LPL, Raymond James Reps slammed by FINRA for falsifying documents.

FINRA fined and suspended two former LP Financial Brokers and separately barred an ex-Raymond James and B. Riley Broker.

[Read More](#)



### North Dakota joins list of States adopting IAR CE in 2024

North Dakota is the latest state to adopt NASAA's IAR CE model regulation that will take effect on January 1, 2024.

[Read More](#)



### Florida becomes latest State to adopt IAR CE requirements

Florida joins the list of states to adopt NASAA's IAR CE model regulation which will take effect on January 1, 2024.

[Read More](#)