

A Straightforward Discussion of CCO Liability

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This presentation will discuss the liability standard for Chief Compliance Officers as well as instances where the SEC has found CCOs liable for violations of the federal securities laws. This presentation will also offer suggestions for CCO conduct as well as construction and operation of compliance programs in order to minimize risks for CCO liability.

Speakers: [Andrew Rosell](#) and Barry Greenberg (General Counsel and Chief Compliance Officer Cushing Asset Management, LP)

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