



**ASCENT 2026 AGENDA**

# Chief Compliance Officers

A tailored agenda to help you maximize your conference experience, designed with your unique role and goals in mind.

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## Compliance Connect

Real Talk. Real Challenges. Real Solutions.

Compliance professionals face more complexity than ever — from evolving SEC expectations to the nuances of AI oversight, regtech integration, and firm-wide supervision.

Compliance Connect is your space to engage with fellow CCOs, compliance officers, and risk professionals navigating similar challenges across advisory models. Share what's working, talk through what's not, and collaborate on how to elevate your program with confidence and clarity.

Facilitated by Orion's compliance leadership, this session creates a candid forum to exchange ideas, benchmark processes, and surface questions you didn't even know you had.

Pull up a chair. Compare notes. Leave stronger.

## The CCO as Strategic Partner: Driving Growth through Compliance and Technology

Compliance is no longer just a safeguard, it's a strategic asset that can unlock growth. This panel, led by our compliance consultants, will explore how forward-thinking CCOs are partnering with executive leadership and revenue teams to embed risk intelligence into growth plans. We'll highlight how emerging technologies, including AI, are transforming compliance workflows and decision making, and why CCOs must be integral to technology strategy to manage regulatory complexity without slowing innovation.

## Reimagining Compliance: From Automation to Intelligence

Learn how Orion's compliance technology equips firms to stay ahead of risk, streamline oversight, and build confidence in their compliance programs. This session will highlight practical workflows across trading supervision, testing, certifications, and more—giving you tangible ways to strengthen your compliance program.

## Tech Demo: All-In-One Oversight: Compliance & Audit Readiness

Simplify monitoring, pre-trade checks, and audit reporting with Orion Compliance so you're always prepared without wasting time.

## Writing Your AI Governance Policy: What Every Firm Needs to Know

As AI adoption accelerates, so does the need for clear policies. This session will help you build an AI governance framework that aligns with your values, protects your firm, and enables innovation.



Ascent 2026 is your chance to sharpen your skills, stay ahead of key industry shifts, and connect and learn from your peers. Don't miss this opportunity to expand your knowledge and spur growth for your business.