



# Half-Day Compliance Boot Camp

## AGENDA

Atlanta, GA  
June 11, 2015

- 8:00 a.m. – 8:30 a.m.      **Registration**
- ▶ Continental breakfast
- 8:30 a.m. – 8:45 a.m.      **Introduction**
- ▶ Welcome Remarks
- 8:45 a.m. – 10:00 a.m.      **Session 1 – Suitability**
- ▶ Understand the requirements of FINRA Rule 2111
  - ▶ Discuss additional guidance issued by FINRA
  - ▶ Discuss practices and procedures for complying with the rule
  - ▶ Discuss common examination findings and effective practices
- 10:00 a.m. – 10:15 a.m.      **Break**
- 10:15 a.m. – 10:45 a.m.      **Session 1 – Suitability (cont'd)**
- ▶ Case study and polling vignettes
- 10:45 a.m. – 11:00 a.m.      **Break**
- 11:00 a.m. – 12:15 p.m.      **Session 2 – Managing Conflicts of Interest**
- ▶ Discuss the major types of conflicts firms face
  - ▶ Discuss measures taken to manage and mitigate conflicts
  - ▶ Understand the factors firms consider important in their framework for managing conflicts of interest
  - ▶ Analyze firms' considerations in establishing or modifying a conflict management framework
- 12:15 p.m. – 12:30 p.m.      **Break/Lunch Served**
- 12:30 p.m. – 1:00 p.m.      **Working Lunch – Session 2 – Managing Conflicts of Interest (cont'd)**
- ▶ Case study
- 1:00 p.m.                      **Adjourn**