



# Half-Day Compliance Boot Camp

## AGENDA

**Birmingham, AL**  
**May 14, 2015**

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|------------------------|--|
| 12:30 p.m. – 1:00 p.m. | <b>Registration</b>  |
| 1:00 p.m. – 1:15 p.m.  | <b>Introduction</b> <ul style="list-style-type: none"><li>▶ Welcome Remarks</li></ul>  |
| 1:15 p.m. – 2:30 p.m.  | <b>Session 1 – Branch Office Inspections</b> <ul style="list-style-type: none"><li>▶ Understand ways to develop, execute and learn from branch office inspection programs</li><li>▶ Execute inspection findings and formulate next steps</li><li>▶ Identify strong compliance practices from SEC and FINRA Joint Guidance</li></ul>  |
| 2:30 p.m. – 3:00 p.m.  | <b>Session 1 – Branch Office Inspections (cont'd)</b> <ul style="list-style-type: none"><li>▶ Case Study</li></ul>   |
| 3:00 p.m. – 3:15 p.m.  | <b>Break</b>   |
| 3:15 p.m. – 4:15 p.m.  | <b>Session 2 – Managing Conflicts of Interest</b> <ul style="list-style-type: none"><li>▶ Discuss the major types of conflicts firms face</li><li>▶ Discuss measures taken to manage and mitigate conflicts</li><li>▶ Understand the factors firms consider important in their framework for managing conflicts of interest</li><li>▶ Analyze firms' considerations in establishing or modifying a conflict management framework</li></ul> |
| 4:15 p.m. – 4:30 p.m.  | <b>Break</b>   |
| 4:30 p.m. – 5:00 p.m.  | <b>Session 2 – Managing Conflicts of Interest (cont'd)</b> <ul style="list-style-type: none"><li>▶ Case study</li></ul>  |
| 5:00 p.m.              | <b>Adjourn</b>   |