



Half-Day Compliance Boot Camp

AGENDA

Boca Raton, FL
September 17, 2015

- 8:30 a.m. – 9:00 a.m. **Registration**
- ▶ Continental breakfast
- 9:00 a.m. – 9:15 a.m. **Introduction**
- ▶ Welcome Remarks
- 9:15 a.m. – 10:15 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
- 10:15 a.m. – 10:30 a.m. **Break**
- 10:30 a.m. – 11:00 a.m. **Session 1 – Suitability**
- ▶ Vignettes
 - ▶ Case Studies
- 11:00 a.m. – 12:00 p.m. **Session 2 – AML Compliance**
- ▶ Highlight key requirements under the rules
 - ▶ Evaluate ways to develop a risk-based AML program
 - ▶ Analyze the sources of AML risks
 - ▶ Define the elements of comprehensive independent testing
- 12:00 p.m. – 12:30 p.m. **Session 2 – AML Compliance (cont'd)**
- ▶ Case studies
- 12:30 p.m. – 1:30 p.m. **Lunch with Regulators**
- 1:30 p.m. **Adjourn**

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