



# Half-Day Compliance Boot Camp

## AGENDA

**Stamford, CT**  
**May 6, 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 – Supervision**
- ▶ Outline key aspects of the supervision and supervisory controls rule
  - ▶ Identify practical considerations for complying with the rule's requirements
  - ▶ Discuss how firms address key issues related to supervision
- 10:00 a.m. – 10:15 a.m.      **Break**
- 10:15 a.m. – 10:45 a.m.      **Session 1 – Supervision (cont'd)**
- ▶ Case study
- 10:45 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. – 1:00 p.m.      **Lunch with FINRA District Staff Members**
- 1:00 p.m. – 1:30 p.m.      **Session 2 – AML Compliance (cont'd)**
- ▶ Case study
- 1:30 p.m.                      **Adjourn**