



Half-Day Compliance Boot Camp

AGENDA

Denver, CO
October 29, 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. – 10:30 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

10:30 a.m. – 11:00 a.m. **Session 1 – Suitability (cont'd)**
▶ Case studies and Vignettes

11:00 a.m. – 11:15 a.m. **Break**

11:15 a.m. – 12:15 p.m. **Session 2 – 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

12:15 p.m. – 12:30 p.m. **Break/Lunch Served**

12:30 p.m. – 1:00 p.m. **Session 2 – Working Lunch -- Supervision Case Study and Vignettes**

1:00 p.m. **Adjourn**