



Half-Day Compliance Boot Camp

AGENDA

New York, NY
September 24, 2015

10:00 a.m. – 10:30 a.m. **Registration**

- ▶ Continental breakfast

10:30 a.m. – 10:45 a.m. **Introduction**

- ▶ Welcome Remarks

10:45 a.m. – 12:00 p.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

12:00 p.m. – 12:15 p.m. **Break/Lunch Served**

12:15 p.m. – 12:45 p.m. **Session 1 – Supervision (cont'd) – Working Lunch**

- ▶ Case studies and Vignettes

12:45 p.m. – 1:45 p.m. **Session 2 – Branch Office Inspections**

- ▶ Understand ways to develop, execute and learn from branch office inspection programs
- ▶ Evaluate inspection findings and formulate next steps
- ▶ Identify strong compliance practices from SEC and FINRA Joint Guidance

1:45 p.m. – 2:00 p.m. **Break**

2:00 p.m. – 2:30 p.m. **Session 2 – Branch Office Inspections Case Study**

2:30 p.m. **Adjourn**