

**Charlotte, NC**  
**July 29, 2015**

8:00 a.m. – 8:30 a.m.	<b>Registration</b> <ul style="list-style-type: none"><li>▶ Continental breakfast</li></ul>
8:30 a.m. – 8:45 a.m.	<b>Introduction</b> <ul style="list-style-type: none"><li>▶ Welcome Remarks</li></ul>
8:45 a.m. – 10:00 a.m.	<b>Session 1 – Suitability</b> <ul style="list-style-type: none"><li>▶ Understand the requirements of FINRA Rule 2111</li><li>▶ Discuss additional guidance issued by FINRA</li><li>▶ Discuss practices and procedures for complying with the rule</li><li>▶ Discuss common examination findings and effective practices</li></ul>
10:00 a.m. – 10:15 a.m.	<b>Break</b>
10:15 a.m. – 10:45 a.m.	<b>Session 1 – Suitability (cont'd)</b> <ul style="list-style-type: none"><li>▶ Case study and polling vignettes</li></ul>
10:45 a.m. – 11:00 a.m.	<b>Break</b>
11:00 a.m. – 12:15 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>
12:15 p.m. – 12:30 p.m.	<b>Break/Lunch Served</b>
12:30 p.m. – 1:30 p.m.	<b>Working Lunch – Session 2 – Managing Conflicts of Interest (cont'd)</b> <ul style="list-style-type: none"><li>▶ Case study</li></ul>
1:30 p.m.	<b>Adjourn</b>