



Half-Day Compliance Boot Camp

AGENDA

Charlotte, NC
July 29, 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 – 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

10:00 a.m. – 10:15 a.m.

Break

10:15 a.m. – 10:45 a.m.

Session 1 – Suitability (cont'd)

- ▶ Case study and polling vignettes

10:45 a.m. – 11:00 a.m.

Break

11:00 a.m. – 12:15 p.m.

Session 2 – Managing Conflicts of Interest

- ▶ Discuss the major types of conflicts firms face
- ▶ Discuss measures taken to manage and mitigate conflicts
- ▶ Understand the factors firms consider important in their framework for managing conflicts of interest
- ▶ Analyze firms' considerations in establishing or modifying a conflict management framework

12:15 p.m. – 12:30 p.m.

Break/Lunch Served

12:30 p.m. – 1:30 p.m.

Working Lunch – Session 2 – Managing Conflicts of Interest (cont'd)

- ▶ Case study

1:30 p.m.

Adjourn