



Half-Day Compliance Boot Camp

AGENDA

Dallas, TX

May 6, 2015

8:30 a.m. – 9:00 a.m.	Registration <ul style="list-style-type: none">▶ Continental breakfast
9:00 a.m. – 9:15 a.m.	Introduction <ul style="list-style-type: none">▶ Welcome Remarks
9:15 a.m. – 10:30 a.m.	Session 1 – Suitability <ul style="list-style-type: none">▶ 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. – 10:45 a.m.	Break
10:45 a.m. – 11:15 a.m.	Session 1 – Suitability (cont'd) <ul style="list-style-type: none">▶ Case study
11:15 a.m. – 12:15 p.m.	Session 2 – Branch Office Inspections <ul style="list-style-type: none">▶ 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
12:15 p.m. – 12:30 p.m.	Break/Lunch Served
12:30 p.m. – 1:00 p.m.	Working Lunch -- Session 2 – Branch Office Inspections (cont'd) <ul style="list-style-type: none">▶ Case study
1:00 p.m.	Adjourn