



Half-Day Compliance Boot Camp

AGENDA

Dallas, TX
May 6, 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. – 10:45 a.m.

Break

10:45 a.m. – 11:15 a.m.

Session 1 – Suitability (cont'd)

- ▶ Case study

11:15 a.m. – 12:15 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

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)

- ▶ Case study

1:00 p.m.

Adjourn