



Half-Day Compliance Boot Camp

AGENDA

Houston, TX
July 6, 2015

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| 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 – Supervision <ul style="list-style-type: none">▶ 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 |
| 10:30 a.m. – 10:45 a.m. | Break |
| 10:45 a.m. – 11:15 a.m. | Session 1 – Supervision (cont'd) <ul style="list-style-type: none">▶ Case study |
| 11:15 a.m. – 12:00 p.m. | Lunch with FINRA District Staff Members |
| 12:00 p.m. – 1:00 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 |
| 1:00 p.m. – 1:30 p.m. | Session 2 – Branch Office Inspections (cont'd) <ul style="list-style-type: none">▶ Case study |
| 1:30 p.m. | Adjourn |