



Half-Day Compliance Boot Camp

AGENDA

Puerto Rico May 19, 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. – 10:00 a.m. **Session 1 – 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
- 10:00 a.m. – 10:15 a.m. **Break**
- 10:15 a.m. – 10:45 a.m. **Session 1 – Branch Office Inspections (cont'd)**
- ▶ Case study
- 10:45 a.m. – 11:30 a.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
- 11:30 a.m. – 11:45 a.m. **Break**
- 11:45 a.m. – 12:15 p.m. **Session 2 – Managing Conflicts of Interest (cont'd)**
- ▶ Case study
- 12:15 p.m. **Adjourn**