



# Half-Day Compliance Boot Camp

## AGENDA

Woodbridge, NJ

August 13, 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. – 10:15 a.m. **Session 1 – Supervision**
- ▶ 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
- 10:15 a.m. – 10:30 a.m. **Break**
- 10:30 a.m. – 11:00 a.m. **Session 1 – Supervision (cont'd)**
- ▶ Case studies and vignettes
- 11:00 a.m. – 11:15 a.m. **Break**
- 11:15 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. – 12:45 p.m. **Session 2 – Managing Conflicts of Interest Case Study**
- 12:45 p.m. – 1:30 p.m. **Lunch with the Regulators**
- 1:30 p.m. **Adjourn**