



Half-Day Compliance Boot Camp

AGENDA

Boston, MA
July 15, 2015

- 8:00 a.m. – 8:30 a.m. **Registration**
- ▶ Continental breakfast
- 8:30 a.m. – 8:45 a.m. **Introduction**
- ▶ Welcome Remarks
- 8:45 a.m. – 10:00 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
- 10:00 a.m. – 10:15 a.m. **Break**
- 10:15 a.m. – 10:45 a.m. **Session 1 – Suitability (cont'd)**
- ▶ Case studies and Vignettes
- 10:45 a.m. – 11:00 a.m. **Break**
- 11:00 a.m. – 12:15 p.m. **Session 2 – 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
- 12:15 p.m. – 12:30 p.m. **Break/Lunch Served**
- 12:30 p.m. – 1:30 p.m. **Session 2 – Supervision Case Study and Vignettes**
- 1:30 p.m. **Adjourn**