



Half-Day Compliance Boot Camp

AGENDA

Chicago, IL
July 15, 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 – 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. – 12:45 p.m. **Session 2 – Branch Office Inspections Case Study**
- 12:45 p.m. – 1:30 p.m. **Lunch with the Regulators**
- 1:30 p.m. **Adjourn**