

Investment Adviser  
Compliance



Hosted by:



## Agenda

The cost to attend both days of the conference is \$395.\* The cost to attend only Day 2 or to participate via LiveStream is \$345.\* To register for both days of the conference, please click [here](#) or call (877) 345-4034.

Wednesday, September 11, 2019

### *Day One – Pre-Conference Sessions (Not Available to LiveStream Attendees)*

- 12:30 - 1:00 **Registration for Pre-Conference**
- 1:00 - 1:50 **East Room: Putting the "Super" in Supervision - Supervising IARs**  
**West Room: Seniority Rules - Working Senior and Vulnerable Clients**
- 2:00 - 2:50 **East Room: Take it Personal - Supervising Personal Securities Transactions**  
**West Room: Criticize then Advertise - Advertising Mistakes to Avoid**
- 2:50 - 3:10 **Refreshment Break**
- 3:10 - 4:00 **East Room: #SocialMedia&ElectronicCommunications @YourIA – Supervising Social Media & Electronic Communications**  
**West Room: Broken Records – Maintaining Books and Record**
- 4:10 - 5:00 **General Session – Center Room: Keep it Fresh - Refreshing the Annual Review Process & Updating Compliance Manuals**
- 5:15 – 6:30 **Cocktails & Appetizers**

**RIA Compliance Consultants Investment Adviser  
Compliance Conference is sponsored by:**



Bridge Financial Technology | [bridgeft.com](http://bridgeft.com)



Lockton Affinity | [locktonaffinity.com](http://locktonaffinity.com)



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# Agenda

Thursday, September 12, 2019

- 8:00 – 8:30 Registration & Continental Breakfast
- 8:30 – 8:40 Introduction & Opening Remarks from Bryan Hill, President of RIA Compliance Consultants, Inc.
- 8:40 – 9:25 ADV 3 Pointers - Expert Guidance for Preparing ADV Part 3
- 9:30 – 10:15 Dis-Close to Deficiencies - Disclosing and Supervising Investment Advisory Fees and Expenses
- 10:15 – 10:35 Morning break and snack
- 10:35 – 11:25 Yes, It Can Happen to You – Risks of Arbitration
- 11:25 – 12:55 Lunch & Peer Discussions – (NOT AVAILABLE to LiveStream Attendees) This will be an opportunity for in-person conference attendees to learn from and share information with their peers. Attendees will pick from a list of topics and be assigned to a table where the attendees will have a guided discussion surrounding the topic.
- 1:00 – 1:50 Not All Heroes Wear Capes – How to be an Effective Chief Compliance Officer
- 1:55 – 2:25 Vigilance, Due Diligence, Persistence - Cybersecurity Panel
- 2:25 – 2:40 Break & Afternoon Snack
- 2:40 – 3:30 Disclose Disclose Disclose (and Mitigate)! - Conflicts of Interest Disclosures
- 3:40 – 4:25 Failing to Prepare is Failing - Readiness & Preparing for Regulatory Examinations
- 4:30 – 5:00 General Compliance Q & A Session with RCC Compliance Consultants
- 5:00 – 6:00 Join us for a reception & cocktails at Liv Lounge in Aksarben Village, 2285 South 67<sup>th</sup> Street, Omaha, NE.

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## Additional Details

**Venue: Scott Conference Center, 6450 Pine Street, Omaha, NE 68106.** The Scott Conference Center is operated by the University of Nebraska – Omaha located in the Aksarben Village area of Omaha between Pacific and Center Streets near 67<sup>th</sup> Street.

**Parking:** Complimentary parking will be available for pre-registered attendees at the parking lot in front (south side of Pine Street) of the Scott Conference Center. Only park in the lot that is designated for the Scott Conference Center attendees.

**Overnight Visitors:** For out of town conference attendees needing a hotel, we recommend staying in the Omaha Aksarben Village area, which is a walkable place of shops, restaurants and bars located in the heart of Omaha. (The conference registration fees do not include hotel or expenses associated with overnight lodging.) The following hotels are in the Aksarben Village area and within easy walking distance of the Scott Conference Center:

**COURTYARD BY MARRIOTT** - 1625 South 67<sup>th</sup> Street, Omaha, NE 68106, (402-951-4300), is one block from the Scott Conference.

- Rate: \$129/Night
- **Booking Link:** <https://www.marriott.com/hotels/hotel-rooms/omawt-courtyard-omaha-aksarben-village/>
  - Website rates will reflect higher than the discount rate. When booking online, you will need to call the Courtyard by Marriott directly at 402-951-4300 and let them know you are attending a conference at the Scott Conference Center in order to reserve your room at the discounted rate of \$129/night. Reserved rooms are not held under RIA Compliance Consultants.
  - No Hotel Shuttle
  - Breakfast Options Available (Additional Charge)
  - Free WIFI

**THE HAMPTON INN – AKSARBEN** - 1401 South 72nd Street, Omaha, Nebraska, 68124, (866-238-4218), is approximately  $\frac{3}{4}$  of a mile from the Scott Conference Center.

- Rate: Wed \$109/Thurs \$101
- **RCC Guest Booking Link:** <http://group.hamptoninn.com/RIA-ComplianceConsultants>
  - Shuttle service to and from the Scott Conference Center
  - Free on-site parking
  - Free WIFI
  - Hot/Cold Breakfast Included

**HILTON GARDEN INN** - 6737 Frances Street, Omaha, NE 68106 (402-334-4441), is approximately 3 blocks from the Scott Conference Center.

- Rate: \$140/Night
- **RCC Guest Booking Link:** <https://hiltongardeninn.hilton.com/RCC>
  - Airport Shuttle and Shuttle to Scott Conference Center Complimentary
  - Free WIFI
  - In Room Fridge
  - Breakfast Included for Hilton Honors Members