



Agenda

Wednesday, August 23, 2023

Day One Sessions (In-Person Attendance Only) - All times central

11:30 to 1:00 PM – Check-in

11:30 to 12:00 PM – Boxed Lunch Available

12:00 to 12:10 PM – Opening Remarks by Bryan Hill, President of RIA Compliance Consultants, Inc.

12:10 to 1:00 PM – Session 1: Behavior Finance – “Why Now? Why Me?” (1 IAR CE Credit)*

1:05 to 2:00 PM – Session 2: Takeaways from Recent Regulatory Exams (1 IAR CE Credit)*

2:00 to 2:10 PM – Break

2:10 to 3:15 PM – First Consultant Led Group Discussion Session

3:15 to 3:25 PM – Break

3:25 to 4:30 PM – Second Consultant Led Group Discussion Session

4:30 to 5:30 PM – Mixer (Cocktails & Appetizers)

Thursday, August 24, 2023

Day Two Sessions – All Times Central

8:00 to 8:30 AM – Check-in (Breakfast Available)

8:30 to 8:40 AM – Opening Remarks by Bryan Hill, President of RIA Compliance Consultants

8:40 to 9:35 AM – Session 1: Duty of Care When Providing Investment Advice**

9:40 to 10:35 AM – Session 2: Testimonials & Endorsements (1 IAR CE Credit)*

10:35 to 10:50 AM – Break

10:50 to 11:45 AM – Session 3: Due Diligence of Service Providers (1 IAR CE Credit)*

11:45 to 12:15 PM – Box Lunch

12:15 to 1:10 PM – Session 4: Investment Adviser Custody and Safekeeping (1 IAR CE Credit)*

1:15 to 2:10 PM – Session 5: Compliance Challenges in a Digital Age (1 IAR CE Credit)*

2:10 to 2:20 PM – Break

2:20 to 3:00 PM – Q&A Panel with our Senior Compliance Consultants

*In order to obtain IAR CE credit, participants must complete the associated course assessments with a passing score in addition to attending the course sessions either in-person or via Zoom.us.

** *The indicated session will be submitted to NASAA for Investment Adviser Representative Continuing Education (IAR CE) Credit, with the intent to provide one credit hour. However, at this time IAR CE credit has neither been applied for nor approved.*

NASAA Disclaimer: *NASAA does not endorse any particular provider of IAR CE courses. The content of the courses and any views expressed are our own and do not necessarily reflect the views of NASAA or any of its member jurisdictions*

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