



Investment Adviser Conference Agenda

The 1415 Meeting Space at 1415 Harney Street, Omaha, NE 68102

Conference Registration Fee: \$195 per attendee. Space is limited.

Discount: If the attendee's firm is currently subscribed to our Platinum, Gold, Silver or Bronze package, the conference registration fee for the attendee is \$95. Please contact your consultant for the discount code.

Thursday, August 24, 2017

8:00 – 8:30 Registration & Continental Breakfast

9:00 – 9:10 Introduction & Opening Remarks from Bryan Hill, President of RIA Compliance Consultants, Inc.

9:10 – 10:10 Building an Investment Adviser Compliance Calendar

Jarrold James, Vice President and Senior Compliance Consultant of RIA Compliance Consultants, will discuss a variety of topics related to the ongoing regulatory requirements for investment advisers and creating an effective compliance calendar. High-level attention will be given to proper and sufficient disclosure to clients including keeping the Form ADV current, annual privacy policy delivery, the review of client correspondence and marketing materials, the review of outside business activities of investment adviser representatives, ongoing due diligence of third party service providers, the assessment of supervisory programs, establishing client files and other compliance files along with other issues. Additionally, we will discuss some of the key areas for designing a compliance program based on an investment adviser's fiduciary status, its business model and risk inventory. Mr. James will provide tips for preparing customized compliance calendars, checklists, and forms to assist investment advisers with meeting annual regulatory requirements and internal policies.

10:10 – 10:20 Break

10:20 – 11:00 SEC Enforcement Action against Investment Advisers

Bryan Hill, will review trends and unique SEC enforcement actions against investment advisers during the past 12 months.

11:00 – 11:30 Regulatory Exam Findings

Jarrold James and Tom Zielinski, Senior Compliance Consultant of RIA Compliance Consultants, will review common deficiencies found by SEC and state examiners during the past year.

11:30 – 11:45 Update U.S. Department of Labor's Fiduciary Rule

Bryan Hill will give an update on the current status of the U.S. Department of Labor's fiduciary rule and the implications to investment advisers.

11:45 – 12:00 Break & Pick-Up Box Lunch

12:00 – 12:30 Lunch & Learn

Find out about more about the service offerings and compliance tools available through RIA Compliance Consultants. Tammy Emsick, Director of Business Development, will explain how RCC can help you implement good compliance and risk management strategies. Learn more about our one-on-one consulting services, our proprietary webinar program, RCC's online subscription account/forms library, WSP/CoE update service, Annual Compliance Review Tool, and other services.

12:30 – 1:30 Regulatory Update from Nebraska Bureau of Securities

Claire McHenry from the Nebraska Department of Banking & Finance, Bureau of Securities will discuss common investment adviser examination findings, current regulatory focus areas and hot topics. The staff will also provide their insight into the upcoming regulatory horizon at both the state and national level.

1:30 – 1:40 Break

1:40 – 2:10 Latest Cybersecurity Developments

Bryan Hill will discuss the continued and increasing regulatory focus on investment advisers developing, maintaining, monitoring and testing written information security programs designed to protect clients' assets and confidential client information. Mr. Hill review some of the latest cybersecurity threats and best practices utilized by investment advisers.

2:10 – 2:40 Requirements under New Form ADV

Theresa O'Grady, Compliance Consultant of RIA Compliance Consultants, will review the new Form ADV which goes into effect during the last quarter of 2017. In particular, Ms. Grady will discuss the additional information that must be reported in the new Form ADV and how that will impact the preparation of the Form ADV Annual Amendment in the spring of 2018.

2:40 – 2:45 Break & Afternoon Snack

2:45 – 3:30 Panel Discussion, Audience Driven

Facilitated by Bryan Hill, this is your opportunity to submit questions, concerns and issues to our experienced investment adviser compliance professionals, RCC Consultants Jarrod James, Tom Zielinski and Teresa O'Grady will take your questions.

3:45 – 4:30 Reception & Cocktails at Wilson & Washburn

Join the associates of RIA Compliance Consultants and other conference attendees for a cocktail at Wilson and Washburn next door to the 1415 Meeting Space.

Additional Conference Details

Conference Venue Location: The conference venue is the 1415 Meeting Space located in the lower level at 1415 Harney Street, Omaha, NE 68102. The building is in downtown Omaha on the south side of Harney Street between 14th and 15th Streets, which is a few blocks from Omaha's Old Market neighborhood.

Parking: Complimentary parking will be available for pre-registered attendees at the following parking lots in downtown Omaha: 1427 Harney Street; 1013 Harney Street; and 322 South 10th Street. After registering for and prior to the conference, each attendee will be provided a parking code and additional details for these parking facilities.

Overnight Visitors: For out of town conference attendees needing a hotel, we recommend the Hyatt Place at 540 South 12th Street in downtown Omaha's Old Market neighborhood which is an easy walk to the conference center.