



Agenda

The cost to attend both days of the conference is \$345. The cost to attend only Day 2 is \$295. To register for both days of the conference, please click [here](#).

Wednesday, August 22, 2018

Day One – Pre-Conference Sessions

- 12:30 - 1:00** **Registration for Pre-Conference**
- 1:00 - 1:55** **Track A: CCO Duties & Establishing Compliance Calendar**
Track B: Compliance Challenges of Bringing on New Investment Adviser Rep or Branch
- 2:00 - 2:55** **Track A: Reviewing Advertising**
Track B: Disclosing & Auditing Investment Advisory Fees & Expenses
- 2:55 - 3:05** **Refreshment Break**
- 3:05 - 4:00** **Track A: Books & Records**
Track B: Terminating an Investment Adviser Rep
- 4:05 - 5:00** **Track A: Strategies for Conducting an Annual Review**
Track B: Developing & Implementing Heightened Supervision Plans
- 5:30 - 8:00** **Cocktail hour followed by dinner at Scott Conference Center**

Track A is intended for individuals new to compliance.

Track B is intended for individuals at the intermediate or advance level.



Agenda

Thursday, August 23, 2018

- 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 – 9:35** **Breaking Down the SEC’s Proposed Form ADV III and Standard of Conduct for RIAs**
- 9:40 – 10:35** **Custody Challenges**
- 10:35 – 10:45** **Morning break and snack**
- 10:50 – 11:20** **Compliance Concerns for Vulnerable/Senior Investors**
- 11:25 – 11:55** **Succession Planning**
- 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 – 1:25** **Identifying, Disclosing & Mitigating Conflicts of Interest**
- 1:30 – 2:20** **Regulatory Exam Findings of RCC Clients**
- 2:20 – 2:30** **Break & Afternoon Snack**
- 2:30 – 3:30** **CCOs Who Survived Recent Regulatory Exam - Panel Discussion, Audience Driven**
- Facilitated by Bryan Hill, this is your opportunity to hear CCOs and RCC’s VP Jarrod James discuss recent regulatory examinations.*
- 3:30 – 3:55** **General Compliance Q & A Session with RCC Compliance Consultants**
- 4:05 – 5:00** **Reception & Cocktails at Liv Lounge in Aksarben Village, 2285 South 67th Street, Omaha, NE.**

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 67th 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 Omaha Aksarben Village](#), 1625 South 67th Street, Omaha, NE 68106 (402951-4300), is one block from the Scott Conference. ***Mention that you are coming into town for an event at the Scott Conference Center to receive a special rate.***

[Residence Inn Omaha Aksarben Village](#), 1717 South 67th Street, Omaha, NE (402-551-8000), is approximately two blocks from the Scott Conference Center.

[Hilton Garden Inn Omaha Aksarben Village](#), 6737 Frances Street, Omaha, NE 68106 (402-3344441), is a new hotel currently under construction but on track to open in July 2018. It is approximately 3 blocks from the Scott Conference Center.