



Agenda

The following is a tentative agenda for our RIA Compliance Connection 2020 Conference. The agenda is subject to change and is meant to serve only as a general overview.

We are looking to hear from attendees on many of these topics, so if you are interested in speaking please contact Grant Parr at gparr@ria-compliance-consultants.com. Speakers will be given free seats.

Wednesday, August 26, 2020

Day One Sessions - All times central

8:00 to 8:50 –Breakout Rooms Hosted by Strategic Alliance Members

9:00 to 9:15 – Announce RIA Compliance Connection 2020 Scholarship Winners

9:15 to 10:00 – Opening Remarks and Discussions

10:00 to 10:40 – *So That's What That Means!* - Fiduciary Duty – What Does it Really Mean for an Investment Adviser to be a Fiduciary?

10:40 to 10:55 - Break

10:55 to 11:40 – *Acquired Skills* - Mergers and Acquisitions/IARs Leaving or Joining a New Firm/Successions – What Due Diligence Needs to be Performed When These Things Occur

11:45 to 12:00 – *Let's take a Breakout* - Breakout discussion for Sessions 1 & 2

12:00 to 12:30 –Lunch Break

12:30 to 1:10 – *Putting the "U" and "I" in Cybersecurity*– What to do When There Has Been a Breach - Panel

1:15 to 1:55 – *Keeping Up with Communications* – Electronic/Digital Communications – How can Compliance Keep Up with or Keep Ahead of Ever Changing and Newly Developed Communications - *Panel*

2:00 to 2:15 – *Give me a Breakout!* – Breakout discussion for Sessions 3 & 4

2:15 to 2:30 – Break

2:30 to 3:10 – *Vendor Defender* – Vendor Due Diligence – Discuss What Needs to be Reviewed, the Frequency of Reviews, and How to Document - *Panel*

3:15 to 3:30 – Breakout discussion for Session 5

3:30 to 3:50 – *What Have We Learned Today?* – Summary and general discussion of the day's Breakout Sessions

Thursday, August 27, 2020

Day Two Sessions – All Times Central

11:00 to 11:50 – Registration

11:30 to 12:00 – Conference Sponsor Breakout Rooms

12:00 to 12:10 – *Open for Business* – Opening remarks and announce Compliance Person of the Year

12:10 to 12:40 – *Hear from a Peer* – Peer-to-peer breakout discussion groups

12:50 to 1:30 – *Best Execution Solution* – Working with Broker-Dealers & Custodians/Best Execution

1:30 to 1:45 – Break

1:45 to 2:25 – *Coronavirus and Business Continuity* – What have Firms Learned from the Recent Pandemic?

2:30 to 3:00 – *Hear from a Peer* – Peer-to-peer breakout discussion groups

3:10 to 4:00 – *What Have We Learned Today?* – Summary of Day 2 and Q&A with RCC staff

RIA Compliance Consultants would like to recognize and thank the following Strategic Alliance Members and Conference Sponsors

