



Agenda

Wednesday, August 24, 2022

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

1:30 to 2:00 PM – Check-in

2:00 to 2:10 PM – Opening Remarks by Bryan Hill, President of RIA Compliance Consultants

2:10 to 3:00 PM – First Consultant Led Group Discussion Session

3:00 to 3:10 PM – Break

3:10 to 4:00 PM – Second Consultant Led Group Discussion Session

4:00 to 5:30 PM – Mixer (Cocktails & Appetizers)

Thursday, August 25, 2022

Day Two Sessions – All Times Central

8:30 to 9:00 AM – Check-in (Breakfast Available 8:30 to 11:00 AM)

9:00 to 9:10 AM – Opening Remarks by Bryan Hill, President of RIA Compliance Consultants

9:10 to 10:00 AM – Session 1: Investment Advisers Act Rule 206(4)-1 – Amendments to Advertising/Marketing Rules

10:00 to 10:15 AM – Break

10:15 to 11:00 AM – Session 2: IRA Rollovers – Conducting PTE 2020's Required Retrospective Review

11:05 to 11:55 AM – Session 3: Form ADV – Keeping it Fresh

12:00 to 12:30 PM – Box Lunch

12:20 to 12:30 PM – Unitifi Presentation

12:30 to 1:20 PM – Session 4: Information Technology & Disaster Recovery/Business Continuity

1:25 to 2:10 PM – Session 5: Common IA Exam Issues through the Eyes of a Former Regulator

2:10 to 2:20 PM – Break

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

RIA Compliance Consultants would like to recognize and thank the following Strategic Alliance Member and Conference Sponsor

