



Tentative Agenda

The following is a tentative agenda for our RIA Compliance Connection 2023 Conference. The agenda is subject to change and is meant to serve only as a general overview.

Wednesday, August 23, 2023

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

12:30 to 1:00 PM – Check-in

1:00 to 1:10 PM – Opening Remarks by Bryan Hill, President of RIA Compliance Consultants

1:10 to 2:10 PM – Takeaways from Recent Regulatory Examinations & Enforcement Actions*

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: Fiduciary Basics When Providing On-Going Investment Advice – What Every Investment Adviser Needs to Know*

9:40 to 10:35 AM – Session 2: Testimonials & Endorsements – Lessons to be Learned for Implementing Effective Policies & Procedures*

10:35 to 10:50 AM – Break

10:50 to 11:45 AM – Session 3: Due Diligence of Service Providers – Why it May No Longer Be Just a Best Practice*

11:45 to 12:15 PM – Box Lunch

12:15 to 1:10 PM – Session 4: Investment Adviser Custody and Potential Changes Under the SEC's Proposed Safeguarding Rule*

1:15 to 2:10 PM – Session 5: Compliance Challenges in the Digital Age: Implementing Effective Procedures*

2:10 to 2:20 PM – Break

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

** The six indicated sessions will be submitted to NASAA for Investment Adviser Representative Continuing Education (IAR CE) Credit, with each intended to provide one credit hour. However, at this time IAR CE credits have neither been applied for nor approved.*

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

