



**NRS Spring 2018 Compliance Conference**  
**April 23 - 26 ~ Westin Savannah Harbor Golf Resort & Spa, GA**

**Agenda**  
*As of 1/29/18\**

**Monday, April 23**

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- 12:30 p.m. – 1:00 p.m. Registration Open for Pre-Conference Workshop A
- 1:00 p.m. – 3:30 p.m. **Pre-Conference Workshop A: New to Investment Adviser Compliance (Basic)**
- 3:30 p.m. – 4:00 p.m. Registration Open for Pre-Conference Workshop B
- 4:00 p.m. – 6:00 p.m. **Pre-Conference Workshop B: Women in Securities Compliance (IA/BD) (Intermediate)**
- 6:00 p.m. – 7:30 p.m. Main Conference Registration Open
- 6:00 p.m. – 7:30 p.m. **Meet & Greet Function**
- Join NRS, exhibitors and fellow attendees for conversations, cocktails and canapés. Westin Savannah concierge will be at the function exclusively for attendees.

**Tuesday, April 24**

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- 7:00 a.m. – 5:30 p.m. Registration Open
- 7:00 a.m. – 5:15 p.m. Exhibit Area Open
- 7:00 a.m. – 8:30 a.m. **Breakfast / Peer Open Discussion by Geography**
- 8:30 a.m. – 8:45 a.m. **Welcome Remarks / Conference Kick-Off**
- 8:45 a.m. – 9:30 a.m. **Keynote Address**
- 9:30 a.m. – 10:30 a.m. **Perspective from the Regulators (SEC, FINRA and NASAA invited) (IA/BD) (Intermediate)**
- 10:30 a.m. – 10:50 a.m. Meet Exhibitors / Refreshment Break
- 10:50 a.m. – 12:05 p.m. Concurrent Breakouts
- Tools for Buying or Selling Securities Firms including Succession Planning (IA/BD) (Intermediate)**
- Compliance Considerations for Senior Investor/Senior Colleague (IA/BD) (Intermediate)**
- 12:05 p.m. – 1:15 p.m. **Lunch / Peer Learning Discussion by Geography**
- 1:15 p.m. – 3:15 p.m. **Closing the Circle – Matching Advertising, Contracts, Disclosures and Procedures (IA/BD) (Basic)**
- 1:15 p.m. – 2:15 p.m. **Compliance Concerns in the use of Code and Algorithms (IA/BD) (Intermediate)**



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- 2:20 p.m. – 3:20 p.m. **Applying New Customer Due Diligence Requirements in AML Programs (BD) (Advanced)**
- 2:20 p.m. – 3:20 p.m. **Addressing Conflicts and Supervision for Branch Offices (IA) (Advanced)**
- 3:15 p.m. – 3:45 p.m. Networking Refreshment Break / Visit Exhibitors
- 3:45 p.m. – 5:00 p.m. Concurrent Breakouts
- Developing Training Programs for Changing Rules or Business Practices (IA/BD) (Intermediate)**
- Assets and Liabilities – FINRA’s Financial Records Interest (BD) (Intermediate)**
- Recent Trends in Investment Adviser Enforcement Proceedings (IA) (Intermediate)**
- 6:00 p.m. – 7:30 p.m. Reception

**Wednesday, April 25**

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- 7:30 a.m. – 5:30 p.m. Registration Open
- 7:30 a.m. – 5:00 p.m. Exhibit Area Open
- 7:30 a.m. – 8:30 a.m. **Breakfast - General Attendance – Peer Open Discussions by Firm Type**
- 7:30 a.m. – 8:30 a.m. **IACCP® Designee Breakfast**
- Attendees who have earned IACCP® designation are invited.
- 8:30 a.m. – 8:40 a.m. **Opening Remarks / Exhibitors Address Audience**
- 8:40 a.m. – 9:25 a.m. **Opening Address**
- 9:30 a.m. – 10:45 a.m. **Cybersecurity – Adapting to Developments (IA/BD) (Intermediate)**
- 10:45 a.m. – 11:05 a.m. Networking Refreshment Break / Visit Exhibitors



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11:05 a.m. – 12:20 p.m. Concurrent Breakouts

**Policies and Procedure Considerations for Cybersecurity Programs  
(IA/BD) (Intermediate)**

**Best Practices for Your Firm's Vendor Management  
(IA/BD) (Intermediate)**

**Tools for Testing Your Firm's Information Security  
(IA/BD) (Intermediate)**

12:20 p.m. – 1:30 p.m. **Lunch / Peer Learning Discussion by Firm Type**

1:30 p.m. – 3:30 p.m. Concurrent Breakouts

**Professional Ethics: Ethical Decision-Making for Compliance Professionals  
(IA & BD) (Intermediate)**

1:30 p.m. – 3:00 p.m. **Innovation Lab with NRS Product Experts**

3:30 p.m. – 3:50 p.m. Networking Refreshment Break / Visit Exhibitors

3:50 p.m. – 5:05 p.m. Concurrent Breakouts

**The Changing Face of SEC Examinations for Investment Advisers  
(IA) (Intermediate)**

**ERISA Fundamentals  
(IA/BD) (Basic)**

**Exploring the Application of FINRA's New Rules and Examinations for 2018  
(BD) (Intermediate)**

6:00 p.m. – 7:30 p.m. Reception

**Thursday, April 26**

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7:30 a.m. – 2:00 p.m. Registration Open

7:30 a.m. – 11:30 a.m. Exhibit Area Open

7:30 a.m. – 8:00 a.m. Breakfast

8:00 a.m. – 8:45 a.m. **Opening Address**



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8:45 a.m. – 9:55 a.m. Concurrent Breakouts

**Advertising Challenges for Investment Advisers  
(Intermediate)**

**Advertising Challenges for Broker-Dealers  
(Intermediate)**

**Custody - New Questions/Persistent Problems  
(IA/BD) (Intermediate)**

10:00 a.m. – 11:15 a.m. Concurrent Breakouts

**Recovering from Large-Scale Natural Disasters – Should you plan for the  
unprecedented? (IA/BD) (Intermediate)**

**Cryptocurrencies: How will cryptocurrencies impact your firm? Are you ready?  
(IA/BD) (Basic)**

**Trading Risks and Compliance Resources  
(IA) (Intermediate)**

11:15 a.m. – 11:45 a.m. Boxed Brunch / Lunch

11:45 a.m. – 1:45 p.m. **Critical Skills for High-Performance Compliance Professionals (IA & BD)  
(IA/BD) (Intermediate)**

11:45 a.m. – 1:00 p.m. **Managing Your New (or Next) Job in Compliance  
(IA/BD) (Intermediate)**

1:45 p.m. – 2:00 p.m. **Takeaways / Conference Wrap-up**

2:00 p.m. **Conference Adjourns**

*\*Subject to change*