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19TH ANNUAL

IA Compliance

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Best Practices • Tested Solutions • Regulatory Insights

SEPTEMBER 16, 2019

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- Advocacy Wealth Management LLC
- Agio
- Alterna Capital Partners
- American Wealth Administration Group LLC
- Baron Capital
- BiolInnovation Capital
- Blackstone
- Braddock Financial LLC
- Cetera Financial Group
- Charles Schwab
- Chenery Compliance Group
- Cipperman Compliance Services
- Corbyn Investment Management Inc
- Councilor, Buchanan & Mitchell
- CreditSights Inc
- Cucharale Consulting Group
- DFG Investment Advisors
- DLA Piper
- Duane Morris
- Durational Capital Management LP
- Dziura Compliance Consulting
- Eagle Point
- Elleverage
- ESL Federal Credit Union
- Fairview Investment Services
- FIS Group, Inc.
- Flexible Plan Investments
- Galliard Capital Management
- GLS Capital, LLC
- Goodnow Investment Group LLC
- Graham Partners
- Heron Wealth
- Hudson Valley Investment Advisors, Inc
- K&L Gates
- Key Financial Inc.
- Law Office of Jodi Erlandsen
- LeGaye Law Firm
- Lovell Minnick Partners LLC
- M/C Partners
- Mairs and Power Inc
- Mallard Financial Partners
- Millburn Ridgefield Corporation
- Nationwide
- Northeast Advisers, Inc.
- Oppenheimer Asset Management
- Orion
- Oyster Consulting LLC
- Philadelphia Regional Office
Securities & Exchange Commission
- Pine Street Financial Group
- PNC Capital Advisors LLC
- Polen Capital Management, LLC
- Private Advisor Group
- Pro Share Advisors
- Redwood Investments
- Regency Wealth Management
- River Wealth Advisors
- Roark Capital Group
- Roosevelt Investment Group
- Rossmore Private Capital, LLC
- Rothschild Capital Partners
- Securities & Exchange Commission
- Siris Capital Group
- Skyview Investment Advisors LLC
- Spring Mountain Capital
- The Swarthmore Group, Inc.
- Thompson, Siegel & Walmsley LLC
- Toth Financial Advisory Corporation
- Vedder Price
- Vigilant Compliance LLC
- VIP Capital Management, LLC
- Walthausen & Co. Llc
- Welch & Forbes
- Wingate Wealth Advisors LLC
- WSFS

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