

19TH ANNUAL

IA Compliance Master Emerging Challenges

BEST PRACTICES • TESTED SOLUTIONS • REGULATORY INSIGHTS

Monday, September 16, 2019 | The Inn at Penn | Philadelphia, PA

There's no need to wrestle with your toughest compliance challenges on your own. Join your peers in Philadelphia to discover best practices and insights into coming SEC initiatives.

Register to attend *IA Watch's IA Compliance: Master Emerging Challenges* conference in Philadelphia on September 16 and gain guidance to take your program to the next level – as well as to prepare for what's coming next. Nothing beats being in the know.

Sample what you're guaranteed to take home after attending *IA Watch's* conference in the City of Brotherly Love:

- Steps to ensure you're ready for an OCIE exam
- Tested processes to enhance how you deal with your most pressing risks – and tips to uncover hidden ones
- Best practices that apply across the entire spectrum of IA compliance
- Tips to strengthen your firm's cybersecurity
- Lessons learned from key SEC enforcement case
- A peek at potential changes to the SEC's advertising rules
- And much more.

BONUS: Take home *IA Watch's* tools-you-will-use – one more way our conferences stand out from the rest and give you real-world tested guidance that no one else can match.

IA WATCH SUBSCRIBERS SAVE \$150!

**REGISTER TODAY &
SAVE UP TO \$150!**
EARN 6.5 CLE/CPE/CFP CREDITS

FEATURED SPEAKERS:



Jeffrey Boujoukos
Director
Philadelphia Regional
Office, Securities and
Exchange Commission



James Capezzuto
CCO
Oppenheimer Asset
Management



Kelly Gibson
Associate Regional
Director for
Enforcement
Securities and
Exchange Commission



Sherwyn William
CTO/CISO at
Siris Capital Group



Aaron De Angelis
CCO
Spring Mountain Capital



Brian Renelt
Deputy CCO
Galliard Capital
Management

TO REGISTER: 202-908-6193, iawatchconferences.com/Philly2019/

100% MONEY-BACK GUARANTEE: You face no risk. You get our iron-clad guarantee. Gain ideas to improve your compliance program at this Philadelphia conference or we'll refund your entire registration fee. No questions asked. You won't find a better guarantee anywhere.



A NOTE FROM OUR CHAIRMAN

Increased SEC exams. Heightened regulatory activity. The growing challenge to do more with less.

While your workload only grows, you can find solace in the tested solutions employed by your peers.

Join us in Philadelphia and take-home best practices honed by compliance professionals and hear from regulators about what's coming around the next bend – so you're ready and your program remains sharp.

REGISTER TODAY & SAVE

IA WATCH SUBSCRIBERS SAVE \$150

Our day-long IA compliance conference begins with a keynote address by **Jeffrey Boujoukos**, the Regional Director of the SEC's Philadelphia office. He'll spell out his and the agency's priorities. Nothing beats being in the know. Other sessions impart:

- The latest on regulatory initiatives being hatched by the SEC
- Strategies to ensure you're ready for your next OCIE exam
- Effective techniques to spot and mitigate your toughest risks
- Compliance best practices that span the full range of your program
- Lessons from a bitterly contested enforcement action
- The latest on your role in helping your firm repel cyber bad guys
- And much more.

All conference attendees also will earn 6.5 CLE/CPE/CFP credits.

You face no risk. You get our iron-clad guarantee. Gain ideas to improve your compliance program at this Philadelphia conference or we'll refund your entire registration fee. No questions asked. You won't find a better guarantee anywhere.



Carl Ayers,
Conference Chairman & Publisher
IA Watch, a service of *Regulatory Compliance Watch*

AGENDA

Monday | September 16, 2019

 7:30 a.m. - 8:30 a.m.

Registration: Meet Our Exhibitors and Enjoy a Continental Breakfast

8:30 a.m. - 9:00 a.m.

Keynote Address: Jeffrey Boujoukos, Regional Director, SEC's Philadelphia Office

An ambitious agenda lies before the SEC. Regulatory initiatives, expanded exams and toughened enforcement positions dominate the Commission. Director Boujoukos updates you on what's hot within the agency, demonstrating why you must stay on top of what your regulator considers vital – so you're ready for what's coming your way.

Speaker: **Jeffrey Boujoukos**, Director, Philadelphia Regional Office, Securities and Exchange Commission, Philadelphia, PA.

9:00 a.m. - 10:00 a.m.

Emerging Regulatory Initiatives Sure to Challenge Your Program

The pace of change out of Washington is quickening. Among the initiatives being contemplated by the SEC are new fiduciary duty rules, revisions to the Advisers Act's advertising rules, plans for additional required disclosures, rules governing the use of derivatives, fund of fund rules, regulations affecting swaps, and more. Our panel alerts you to what's new and what's coming so you're prepared.

Speakers: **Kelly Gibson**, Associate Regional Director for Enforcement, Securities and Exchange Commission, Philadelphia, PA; **James Capezzuto**, CCO, Oppenheimer Asset Management, New York, NY; and **John Grady**, Partner, Practus LLP, Philadelphia, PA.

 10:00 a.m. - 10:30 a.m.

Refreshment Break in Our Exhibit Hall

10:30 a.m. – 11:30 a.m.

Red-Hot SEC Exam Topics and How to Prepare for Your Next Exam

Examinations of SEC-registered investment advisers hit historical highs last year and OCIE's goal is to conduct 2,300 IA exams in FY 2020. Now more than ever it is critical to understand the exam environment. Our panel will detail:

- ▶ the varied types of exams the SEC is conducting;
- ▶ key factors the Commission weighs when affixing a firm's risk profile;

- ▶ current exam focus areas and what sweeps and alerts are coming;
- ▶ the Top 5 deficiency areas and how to avoid them and
- ▶ best practices to employ before, during and after an exam.

BONUS: Attendees will receive SEC document request letters across varied regions, sweep exam letters, never-before-examined firms' request letters, and a list of 40 exam best practices tips.

Speakers: **Mark Dowdell**, Assistant Director, SEC's Philadelphia Regional Office; Philadelphia, PA; **Chuck Martin**, Managing Director, Vigilant Compliance, Chadds Ford, PA; and **Michael McGrath**, Partner, K&L Gates, Boston, MA.

11:30 a.m. – 12:00 p.m.

A Cybersecurity Sampler: Real-Life Risks and Tested Solution

This quick-paced session regales you with real cybersecurity risks facing advisory firms and hands you actions your firm can take to prevent damaging attacks on its network. Your appetite will be whetted for our post-lunch detailed look at cybersecurity.

Speakers: **Sherwyn Williams**, CTO/CISO at Siris Capital Group in New York; **Jason Maddox**, Director, Information Technology/CISO, Roark Capital Group in Atlanta; and **Ray Hillen**, Managing Director, Cybersecurity, Agio, Raleigh, N.C.

 12:00 p.m. - 1:00 p.m.

Lunch: Network With Your Peers

1:00 p.m. - 2:00 p.m.

New Ideas to Strengthen Your Firm Against Relentless Cyber Criminals

The vexing challenge of cybersecurity isn't going away any time soon. Cybersecurity can be found front and center among the SEC's current exam priorities. OCIE's "Cyber 3" initiative is now underway and firms are being asked tough cyber questions on exams. Our panel will reveal what those hard questions are, detail the current threat environment, discuss lessons learned from recent cyber enforcement cases, offer critical best practices across the SEC's core cyber focus areas, tackle the potential impact of state privacy laws, and address the Commission's cybersecurity expectations for compliance.

Please visit the website to view the latest updates.

"The level of expertise of the panelists was impressive!"

— DENNIS W. LLOYD, FOUNDER & PRESIDENT, COLUMBIA CAPITAL MANAGEMENT

BONUS: Attendees will receive a cyber checklist for IAs, a list of cyber questions being asked on SEC exams, cybersecurity P&Ps, and a data breach incident response plan.

Speakers: **Michael Quinn**, Managing Director, Kroll, Secaucus, NJ; **Jonathan Wowak**, Chief Operating Officer, Cipperman Compliance Services; Wayne, PA and **Joshua Mooney**, Partner, White and Williams Philadelphia, PA.

2:00 p.m. – 3:00 p.m.

Balancing Old Advertising Rules Against Today's Social Media Milieu

The SEC's advertising rules came to be in the 1960s and haven't been rewritten since. It's time and the Commission recognizes that IM is actively preparing to present recommendations for a proposal on modernizing the advertising and solicitation rules for IAs. Hear what might be coming down the pike, how social media is increasingly coming into play, how the GIPS compliance landscape is shifting, how misleading advertising tripped up a robo-adviser, what happened when compliance wasn't unified in reviewing ads and more.

BONUS: Attendees will receive a peer-created overview of SEC advertising rules for advisers, an advertising and marketing checklist, a marketing approval form, and advertising P&Ps.

Speakers: **David Edwards**, President & Wealth Advisor, Heron Wealth, New York, NY; **Richard Kerr**, Partner, K&L Gates, Boston, MA and **Joseph Mannon**, Shareholder, Vedder Price Chicago, IL.

3:00 p.m. – 3:15 p.m.

Refreshment Break: Network with Your Peers

3:15 p.m. – 4:00 p.m.

Tips to Uncover & Tackle Hidden Risks

Knowing your firm's compliance risks and taking proactive steps to mitigate those risks is of paramount importance. Constantly updating your risk matrix is critical and stated SEC exam priorities, the announcement of SEC enforcement actions and the release of OCIE risk alerts all can serve as risk review prompts. Hear how your compliance peers identify hidden risks, including conflicts of interest, and how your risk matrix can serve as the road map for the conducting of your annual review.

BONUS: Among other items, attendees will receive a risk management matrix, and a conflicts inventory worksheet.

Speakers: **Adam Reback**, Director, Optima Partners New York, NY and **Ellen Harvin**, Vice President, Fairview Investment Services, Raleigh, NC.

4:00 p.m. – 4:45 p.m.

Nothing But Pure, Solid Compliance Best Practices

Name your toughest challenge. Odds are our panel has solutions for you. The rubber hits the road in this session as our compliance experts share their best practices on a full range of compliance issues – from best execution to trading, advertising reviews to new compliance P&Ps, and more. Get ready to exercise your hand because you're going to be taking lots of notes.

INTERACTIVE ALERT! Attendees, look for our pre-conference survey via e-mail giving you an opportunity to suggest a compliance topic for which our panel will share their best practices.

BONUS: Go home with an overview of the SEC's advertising rules.

Speakers: **Steven Weiss**, General Counsel/CCO, Roosevelt Investment Group, New York, NY; **Brian Renelt**, Deputy CCO, Galliard Capital Management, Minneapolis, MN, and **Aaron De Angelis**, CCO, Spring Mountain Capital, New York, NY.

4:45 p.m.

Conference Adjourns

THIS PROGRAM IS DESIGNED FOR:

- Chief Compliance Officers
- Compliance Officers
- General & Outside Counsels
- Senior Officers and Executives
- CFOs
- Owners/Presidents

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For information and pricing details, please contact **Andrea Trout** at 301-675-4262 or e-mail atrout@iawatch.com.

TAKE-HOME TOOLS

- Solicitor Checklist
- New Hire Checklist
- OCIE Document Request Exam Letters
- Best Ex Scorecard
- Record Retention P&P
- And many more.

VENUE INFORMATION:

The Inn at Penn
3600 Sansom Street, Philadelphia, PA 19104
(215) 823-6240
<https://book.passkey.com/event/49860817/owner/3092379/home>

Rate: \$179 + tax single/double per night

Cut-off Date: Monday, August 26, 2019

REGISTER TODAY & SAVE:

- **Regular Price:** \$995
- **IA Watch Subscriber Price:** \$845 (\$150 savings)

The registration fee includes admittance to all sessions, continental breakfast, a plated luncheon, refreshment breaks, and all working materials.

WAYS TO REGISTER:

- **Online:** iawatchconferences.com/philly2019/
- **Call:** 202-908-6193

INTRODUCING THE NEW CONFERENCE APP



The materials & resources for all sessions of the conference, as well as information on how to obtain CLE/CPE/CFP credits, will NOW be available on the IA Watch Events Conference App.

Satisfy your annual CLE/CPE/CFP requirements at IA Compliance: Master Emerging Challenges

Pre-Approved for 6.5 CLE/CPE/CFP Credits

Program Level: Intermediate

Prerequisites: None

Type of Delivery Method: Group Live

Please see the website for details:
iawatchconferences.com/philly2019/cle-cpe.html

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