

**Regulatory  
Compliance Watch**

# **The Full 360° Compliance View Washington DC 2020**

**May 7 - 8, 2020**

**Convene at 600 14th Street NW**

Formerly known as IA Watch, the 22<sup>nd</sup> Annual conference is back better than ever. Editorially backed by Regulatory Compliance Watch, this conference will feature observations, insights, and analysis of compliance and regulatory issues that will have a meaningful impact for your firm.



**Register today!**

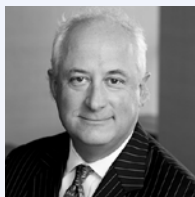
📄 [bit.ly/RCW360](https://bit.ly/RCW360) ✉ [regny@peimedia.com](mailto:regny@peimedia.com)

# Featured Speakers

View full speaker list at [bit.ly/RCWSPK](https://bit.ly/RCWSPK)



**Danny Ball**  
General Counsel  
Chief Compliance Officer  
SPC Financial



**David J. Campbell**  
General Counsel  
Silvercrest Asset  
Management Group LLC



**Nicole Davis**  
Chief Compliance Officer  
Northwest Financial Advisors



**Michele Hawkins**  
Managing Director &  
Chief Compliance Officer  
Fort Washington Investment  
Advisors, Inc.



**Margaret Iamunno**  
Chief Compliance Officer  
GM Advisory Group



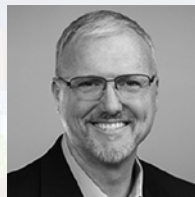
**Keynote speaker**  
**Daniel S. Kahl**  
Co-Deputy Director Chief  
Counsel for the OCIE's  
**U.S. Securities & Exchange  
Commission**



**Debra Konieczny**  
Chief Compliance Officer  
Capital Advisors, Inc.



**Sirimal Mukerjee**  
Senior Counsel  
**U.S. Securities & Exchange  
Commission**



**Brent Nicks**  
Chief Compliance Officer  
Goss Advisors



**Mitzie Pierre**  
Chief Compliance Officer  
IFM Investors



**Emily Rowland**  
Senior Counsel  
**U.S. Securities & Exchange  
Commission**



**Charlton Rugg**  
Chief Compliance, Legal &  
Technology Officer  
Obermeyer Wood  
Investment Counsel

# Agenda | May 7

7:30am	Registration & networking breakfast
7:30am	<b>CCO-Only think tank</b>
8:25am	<b>Chairman welcome</b>
8:30am	<b>Hot Topics:</b> <b>Ensure you are ready for upcoming regulatory changes</b>
9:00am	<b>Fiduciary duty &amp; best interest rule</b>
10:00am	Networking break
10:30am	<b>Pay-to-Play in an election year</b>
11:30am	<b>Business continuity plan:</b> <b>Managing risk throughout its entire cycle</b>
12:30pm	Lunch
1:30pm	<b>Breakout sessions</b> <ul style="list-style-type: none"><li>• Conflicts of interest &amp; disclosure</li><li>• Custody rule</li></ul>
2:30pm	Transition break
2:40pm	<b>Ways to ease your compliance burdens through technology</b>
3:40pm	Networking break
4:10pm	<b>Best practices from your peers roundtables</b>
5:10pm	<b>Closing remarks &amp; cocktail reception</b>

**Earn up to 10.5 credits for full conference attendance and up to 3 credits for SEC exam preparation workshop participation.**

# Agenda | May 8

7:45am	Breakfast
8:25am	<b>Chairmans welcome back remarks</b>
8:30am	<b>Keynote: Current SEC trends</b>
9:00am	<b>Keynote: SEC supersession</b>
9:30am	<b>Advertising &amp; marketing rule</b>
10:30am	Networking break
10:50am	<b>Leadership &amp; working with your C-Suite</b>
11:50am	<b>Vendor management in cybersecurity</b>
12:50pm	Lunch, closing remarks & end of conference
2:00pm	<b>SEC exam preparation workshop</b>

For the full agenda, [bit.ly/RCW360Agenda](https://bit.ly/RCW360Agenda)

## SEC exam preparation workshop

In order to have the best outcome on your SEC exam, preparation is key. Join Mario Chilin, Chad Earnst, Matt Lovett and Michael Snyder among other industry leaders, as they will walk you through the steps you need to take before, during, and after your exam to ensure the most successful outcome. You will leave with actionable insights and a toolkit filled with resources that will guide you through every step of the process.



**Mario Chilin**  
Chief Compliance  
Officer  
EP Wealth  
Advisors, LLC



**Chad Earnst**  
Global Head of  
Compliance  
PGIM



**Matt Lovett**  
Chief Compliance  
Officer  
Brookstone Capital  
Management



**Michael Snyder**  
Chief Compliance  
Officer  
Beaumont Financial  
Partners

Up to 3 CLE/CPE credits  
additional cost: \$395



# Advisory board



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# Pricing

Register at [bit.ly/RCW360](https://bit.ly/RCW360)

Registration type	Preferred price (Ends February 28 <sup>th</sup> )	Savings
RCW subscribers - conference only	<b>\$1295</b>	<b>\$300</b>
Non RCW subscribers - conference only	<b>\$1395</b>	<b>\$200</b>
RCW subscribers - conference + Post-workshop	<b>\$1690</b>	<b>\$300</b>
Non RCW subscribers - conference + Post-workshop	<b>\$1790</b>	<b>\$200</b>

*// The conference was well run, well moderated and very substantive. The topics were timely and informative. //*

**Joan Berger**  
Chief Compliance  
Officer/General Council  
**Pzena Investment  
Management**

## Venue

**Convene**, 600 14th Street NW, Washington, D.C. 20005  
(1-888-730-7307)

## Hotel recommendation

Please note that there is a room block at the following hotel:  
**Washington Marriott at Metro Center.**

We have arranged a special conference rate of \$309.00 per night + tax by referencing the **RCW Full 360° Compliance View conference**. Rooms are limited and are on a first come first served basis. For conference pricing book by April 15<sup>th</sup>, 2020