

# The Full 360° Compliance View Attendees 2019

Company	Title
57 Stars LLC	Chief Financial Officer
Agio	Managing Director Cybersecurity
Alaric Compliance Services, LLC	Director
Alphastar Capital Management	Chief Compliance Officer and General Council
Alston & Bird	Partner
American Beacon Advisors Inc	Chief Compliance Officer
Bares Capital Management	Operations and Portfolio Accountant
Beacon Compliance Consulting, Inc.	Compliance Consultant
Bearing Point Wealth Partners, Inc.	President
BelHealth Investment Partners	Paralegal
Brandywine Global Investment Management, LLC	Senior Compliance Associate
Bridge Capital Associates	Chief Compliance Officer
CapVisor Associates, LLC	Chief Operating Officer
Carousel Capital	Chief Financial Officer & Chief Compliance Officer
Cherry Bekaert Wealth Management, LLC	Chief Compliance Officer
CIM, LLC	Compliance Manager
Clarity Financial, LLC	Director of Operations
Coastal Investment Advisors	Chief Compliance Officer
Cohen & Buckmann	Attorney
Colony Family Offices	Chief Compliance Officer
Concorde Investment Services	Compliance Officer
Conservest Capital Advisors, Inc.	Director
Consultiva Internacional, Inc	Chief Compliance Officer
Core Compliance & Legal Services	Chief Executive Officer
Cypress Capital	Chief Compliance Officer

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Davenport & Company	Chief Compliance Officer
Dechert LLP	Partner
Douglas C. Lane & Associates, Inc.	Partner, Chief Compliance Officer
Eagle Point Credit Management, LLC	Senior Compliance Associate
Energy Capital Partners	Compliance Associate
Eversheds Sutherland	Partner
Evolutionary Tree Capital Management	President
Fairview Investment Services	Senior Compliance Associate
Fidelity Investments	Senior Legal Counsel
First Republic	Compliance Director
Flexible Plan Investments, Ltd.	Chief Financial Officer
FTI Consulting	Senior Managing Director
Glaxis Capital Management, LLC	Chief Financial Officer & Chief Compliance Officer
Global Endowment Management, LP	Chief Compliance Officer
Hammond, Kennedy, Whitney	Chief Financial Officer & Chief Compliance Officer
HCI Equity Partners	Chief Financial Officer
Insight Investment	Chief Compliance Officer
Integrated Financial Group	Compliance Officer
Integrated Wealth Concepts	Financial Advisor
Janney Montgomery Scott Inc	Chief Compliance Officer
Jaygirl Consulting	Owner
Juggernaut Management, LLC	Chief Compliance Officer
Kalos Management, Inc.	Chief Compliance Officer
Knoblock Law	Attorney
LairdNorton Wealth Management	General Counsel/Chief Compliance Officer
Lenox Wealth Advisors, Inc.	Chief Operating Officer

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Lord Abbett & Company	Chief Compliance Officer
Loring, Wolcott & Coolidge	Chief Compliance Officer
Maine Department of Professional &	Securities Administrator
Manulife Asset Management	Managing Director, Compliance Officer
MassMutual	Counsel
MetLife	Chief Compliance Officer
Millennium Management LLC	Attorney
Motley Fool Wealth Management LLC	Senior Regulatory Counsel
National Investment Services, Inc	Chief Compliance Officer
New Vernon Capital	Chief Compliance Officer
NISA Investment Advisors	Compliance Officer
Omega Wealth Management	Operations Analyst
Opus Investment Management Inc	Director-Operations
Oz Management	Chief Regulatory Counsel
Palladium Equity Partners, LLC	General Counsel/Chief Compliance Officer
Performance Equity Management	Chief Operating Officer
PFS Investments	Securities Compliance Attorney
Piedmont Capital Management	Chief Compliance Officer
Pivot Point Capital	Chief Compliance Officer
Polen Capital	Legal and Compliance Associate
Pzena Investment Management	General Counsel/Chief Compliance Officer
Redwood Investments	Chief Financial Officer & Chief Compliance Officer
RightSize Solutions	Chief Executive Officer
Rogers & Hardin	Attorney
RoundTable Healthcare Partners	Operating Partner
Securities and Exchange Commission	Assistant Director, Investment Adviser Regulations

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Securities and Exchange Commission	Assistant Director, Office of Risk Analysis
Securities and Exchange Commission	Co-Chief, Asset Management Unit
Securities and Exchange Commission	Director, Office of Compliance Inspection
Securities and Exchange Commission	Former IM Associate Director/Chief Counsel
Sound Shore Management	Chief Compliance Officer
Stifel	Public Communications
Stronghold Resource Partners	Chief Financial Officer & Chief Compliance Officer
Symphony Financial Partners	Chief Operating Officer
TD Ameritrade Institutional	Managing Director of Advisory Advocacy
TD Asset Management Inc.	Managing Director
The Swarthmore Group, Inc.	Chief Compliance Officer
TIFF Advisory Services Inc	Compliance Officer
Tocqueville Asset Management LP	Legal Affairs
Torray LLC	Financial Advisor
Trajan Wealth, LLC	Compliance Officer
TrustCore	Chief Compliance Officer
Tucker Financial Services Inc	Investment Adviser
U.S. Bank	Compliance Officer
Valley View Consulting	Cash & Investment Management Services
Vigilant Compliance, LLC	Director
VIP Capital Management, L.P.	Chief Financial Officer & Chief Compliance Officer
VMG Partners	Chief Compliance Officer
Wasatch Advisors Inc	General Counsel