



# Parker MacIntyre

Legal, Regulatory and Compliance Services

[www.RIAComplianceLawyer.com](http://www.RIAComplianceLawyer.com)

## RIA Compliance Seminar 2016

*Includes Discussion of the Most Recent  
Regulatory Developments and Best Practices*

**Date:** Tuesday,  
October 18, 2016

**Time:** 9am to 3pm

**Location:** Century Center,  
First Floor  
Conference Room

**Address:** 2987 Clairmont Rd,  
Atlanta, GA 30329

**Cost:** \$40

**Meals included:** Continental breakfast  
and lunch

## TOPICS

- What the DOL Fiduciary Rule means to RIAs
- Confronting cyber risks, data breaches, and privacy risks
- How to prepare for regulatory examinations and avoid common deficiencies
- How to create and use accurate performance and other advertising materials
- How to design and maintain a compliance program
- Succession planning/business continuity planning

## REGISTRATION

Online or by Phone  
[ParkerMacIntyre.com/Registration](http://ParkerMacIntyre.com/Registration)  
Call Parker MacIntyre's office at 404.490.4060

## REASONS TO ATTEND

Learn *industry-specific cybersecurity risks* and actions you can take to mitigate those risks

Learn *best practices for advertising*, including how to write clear disclosures and disclaimer

Learn how to *design an effective compliance program* for your Investment Adviser

Hear from *experts on best practices* for preparing for and going through a books and records examination

## 2016 SEMINAR PRESENTERS

**Noula Zaharis**,  
Assistant Commissioner of Securities,  
State of Georgia

**Cherie Tolbert**, CIC, Vice President,  
NFP Property & Casualty Services, Inc.,  
Professional Liability Division

**Steve Parker**, Principal,  
Parker MacIntyre,  
Chair, Regulatory Practice Group

**Bryan Gort**, Associate,  
Parker MacIntyre

**Patricia Klusmeyer**, Associate,  
Parker MacIntyre

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### WHO SHOULD ATTEND

Chief Compliance Officer

Vice President

Compliance staff

Operations Officer

Chief Operating Officer

Training Department Heads

### TOPICS YOU WILL LEARN

Industry-specific cybersecurity risks and actions you can take to mitigate those risks

Best practices for advertising, including how to create and use accurate performance materials

How to design an effective compliance program for your Investment Adviser