

Seminar Schedule

Thursday, October 18, 2018

- 8:30am-9:00am Check-in and Breakfast
- 9:00am-9:30am Compliance: Sources of Duties, Common Deficiencies and Recent Examination Trends
Steve Parker, Principal, Parker MacIntyre
- 9:30am-10:45am North Carolina Investment Adviser Regulation Overview
Elizabeth Guido, Senior Financial Investigator, Securities Division, NC Secretary of State
- 10:45am-11:00am Break
- 11:00am-11:30am Business Continuity and Succession Planning
Steve Parker, Principal and Patrick Zichterman, Associate, Parker MacIntyre
- 11:30am-12:15pm Custody Update: What New SLOA Guidance Means for RIAs
Patricia Klusmeyer, Associate, Parker MacIntyre
- 12:15pm-1:00pm Lunch on Site
- 1:00pm-1:30pm Cybersecurity Insurance
Scott Shannon, Commercial Insurance Advisor, Windemere Insurance Group
- 1:30pm-2:30pm Cyber Insecurity
Bryan Gort, Associate, Parker MacIntyre
- 2:30pm-2:45pm Break
- 2:45pm-3:30pm Advertising and Social Media – Best Practices and New Developments
Bryan Gort and Patricia Klusmeyer, Associates, Parker MacIntyre
- 3:30pm-4:00pm Diminished Capacity: Tools and Practices to Consider
Steve Parker, Principal, Parker MacIntyre