

Seminar Schedule

Tuesday, October 16, 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 Tennessee Securities Division: Priorities and Recent Developments
Frank Borger-Gilligan, Assistant Commissioner and Elizabeth Bowling, Director of Registration, Securities Division, Tennessee
- 10:45am-11:00am Break
- 11:00am-11:30am Business Continuity and Succession Planning
Steve Parker, Principal and Patrick Zichterman, Associate, Parker MacIntyre; Frank Borger-Gilligan, Assistant Commissioner and Elizabeth Bowling, Director of Registration, Securities Division, Tennessee
- 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-2:00pm Cyber Insecurity
Bryan Gort, Associate, Parker MacIntyre
- 2:00pm-2:15pm Break
- 2:15pm-3:00pm Advertising and Social Media – Best Practices and New Developments
Bryan Gort and Patricia Klusmeyer, Associates, Parker MacIntyre
- 3:00pm-3:45pm Diminished Capacity: Tools and Practices to Consider
Steve Parker, Principal, Parker MacIntyre