

2019 NSCP National Conference
CPE Fields of Study

<u>Session #</u>	<u>Start Time</u>	<u>End Time</u>	<u>Session Name</u>	<u>CPE Field of Study</u>	<u>Credits</u>
Session 1	9:50 AM	11:05 AM	1a. BD - Regulatory Review (OPEN)	Regulatory Ethics –Technical	1.5
75 Minute Session			1b. IA/IC/PF – The 2020 GIPS® Standards (Intermediate)	Regulatory Ethics –Technical	1.5
			1c. IC - Investment Company Compliance 101 (Basic)	Regulatory Ethics –Technical	1.5
			1d. ALL - Anti-corruption, Bribery & Fraud Issues (Advanced)	Regulatory Ethics –Technical	1.5
			1e. ALL Lab - Compliance's Role in ESG Investing and Corporate Engagement (Advanced)	Regulatory Ethics –Technical	1.5
			1f. IA/PF Lab – When is an Advertisement Deemed to be Misleading? (Intermediate)	Communications and Marketing – Non-Technical	1.5
			1g. MA Forum - Exam Prep & Best Practices (Intermediate)	Regulatory Ethics –Technical	1.5
			1h. ALL Talk Group - New & Prospective NSCP Members	This session does not qualify for CPE Credit.	0
Session 2	11:25 AM	12:40 PM	2a. IA/IC/PF - Regulatory Review (OPEN)	Regulatory Ethics –Technical	1.5
75 Minute Session			2b. BD - Creating Effective Supervision Structures (Intermediate)	Auditing - Technical	1.5
			2c. ALL - When Legal and Ethical Considerations Collide (Advanced)	Regulatory Ethics –Technical	1.5
			2d. ALL - Small Firm Decisions: Outsource or Automate? (Intermediate)	Information Technology - Technical	1.5
			2e. BD Lab - Annual Review of Business (Basic)	Regulatory Ethics –Technical	1.5
			2f. MA Lab – Advertising (Intermediate)	Communications and Marketing – Non-Technical	1.5
			2g. ALL Forum - Canadian Compliance (Intermediate)	Regulatory Ethics –Technical	1.5
			2h. BD/IA Talk Group - Dual Registrants	This session does not qualify for CPE Credit.	0
Session 3	2:10 PM	3:25 PM	3a. BD/IA - FinTech & Technology Governance (OPEN)	Information Technology - Technical	1.5
75 Minute Session			3b. IA/IC/PF - Reassessing Pricing and Valuation Models (Intermediate)	Economics - Technical	1.5
			3c. ALL - Basics of ERISA (Basic)	Regulatory Ethics –Technical	1.5
			3d. ALL - Supporting Women in Compliance (Intermediate)	Personal Development - Non-Technical	1.5
			3e. BD Lab - Conducting a Mock Exam (Intermediate)	Auditing – Technical	1.5
			3f. IA Lab - Conducting a Mock Exam (Intermediate)	Auditing – Technical	1.5
			3g. BD Forum - Field Audit Program (Intermediate)	Auditing – Technical	1.5
			3h. MA Talk Group - Introduction to Municipal Advisors (Basic)	This session does not qualify for CPE Credit.	0
Session 4	3:45 PM	5:00 PM	4a. No Session Scheduled	N/A	0
75 Minute Session			4b. ALL - Anti-Money Laundering and Fraud (Intermediate)	Regulatory Ethics - Technical	1.5
			4c. BD/IA - Regulations Best Interest - SEC Innovation or Zombie DOL Fiduciary Rule?	Regulatory Ethics - Technical	1.5
			4d. ALL – FinTech & RegTech Innovations (Intermediate)	Information Technology - Technical	1.5
			4e. ALL Lab - Regulatory Exams: Best Preparation (Basic)	Regulatory Ethics - Technical	1.5

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			4f. BD Lab - When is an Advertisement Deemed to be Misleading? (Intermediate)	Communications and Marketing - Non-Technical	1.5
			4g. IC Forum - Investment Companies Issues (Advanced)	Regulatory Ethics - Technical	1.5
			4h. ALL Talk Group - Women in Compliance	This session does not qualify for CPE Credit.	0
Session 5	9:50 AM	11:05 AM	5a. BD - Enforcement Issues (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			5b. ALL - ERISA: Now and into the Future (Intermediate)	Regulatory Ethics - Technical	1.5
			5c. IA - Compliance Passport: Perspective Beyond the U.S. Borders (Intermediate)	Regulatory Ethics - Technical	1.5
			5d. ALL - Integrating Behavioral Ethical Standards with Compliance Programs (Intermediate)	Behavioral Ethics – Non-Technical	1.5
			5e. BD/MA Lab - Records Management (Advanced)	Regulatory Ethics - Technical	1.5
			5f. ALL Lab - Testing the Written Policies & Procedures Lab (Basic)	Auditing - Technical	1.5
			5g. IA - Investment Adviser Standard of Conduct	Regulatory Ethics - Technical	1.5
			5h. Public Pension Funds Talk Group	This session does not qualify for CPE Credit.	0
Session 6	11:25 AM	12:25 PM	6a. BD/IA - A practical Guide to Form CRS (Client Relationship Summary)	Regulatory Ethics - Technical	1
60 Minute Session			6b. ALL - Integrating and Adapting to Corporate Changes (Advanced)	Regulatory Ethics - Technical	1
			6c. ALL - Ahead of the Curve Compliance: Blockchain & Digital Assets (Basic)	Information Technology - Technical	1
			6d. ALL - Cybersecurity for Small to Mid-size Firms (Intermediate)	Information Technology - Technical	1
			6e. BD/MA Lab - Risk Identification & Creating a Risk Matrix (Basic)	Management Services - Technical	1
			6f. IA Lab - Financial Forensics (Intermediate)	Accounting - Technical	1
			6g. IA/IC/PF Forum - Trading Compliance Issues (Intermediate)	Regulatory Ethics - Technical	1
			6h. IA Talk Group - Global Advisers	This session does not qualify for CPE Credit.	0
Session 7	2:10 PM	3:25 PM	7a. BD/IA - Managing Dual Registrant Requirements (Advanced)	Regulatory Ethics - Technical	1.5
75 Minute Session			7b. IA/IC/PF - 2019 Regulatory Priorities & Best Practices (Intermediate)	Regulatory Ethics - Technical	1.5
			7c. ALL - Regulation of Digital Assets (Intermediate)	Information Technology – Technical	1.5
			7d. ALL - Why Diversity & Inclusion Matter (Intermediate)	Personnel/Human Resources – Non-Technical	1.5
			7e. ALL Lab - Initial and On-going Vendor Due Diligence and Oversight (Intermediate)	Auditing – Technical	1.5
			7f. IA Lab - Risk Identification & Creating a Risk Matrix (Basic)	Management Services - Technical	1.5
			7g. PE/PF Forum - Applying IA Rules to Private Equity (Basic)	Auditing – Technical	1.5
			7h. MA Talk Group - Compliance with New Rules (OPEN)	This session does not qualify for CPE Credit.	0
Session 8	3:45 PM	5:00 PM	8a. BD - Understanding, Building and Testing Compliance Controls (Intermediate)	Auditing – Technical	1.5
75 Minute Session			8b. PE/PF - Lessons Learned from Key Enforcement Actions (OPEN)	Regulatory Ethics - Technical	1.5

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			8c. ALL - Electronic Communications & Social Media (Intermediate)	Information Technology - Technical	1.5
			8d. ALL - Emotional Intelligence & Interpersonal Skills to Boost Your Clout (Intermediate)	Personal Development - Non-Technical	1.5
			8e. IA/IC/PF Lab - Roadmap to Conduct Annual Compliance Reviews (Basic)	Regulatory Ethics - Technical	1.5
			8f. ALL Lab - Follow the Money: Analyzing Your Firm's Financials (Intermediate)	Accounting - Technical	1.5
			8g. IA Forum - Untangling Custody Responsibilities (Advanced)	Regulatory Ethics - Technical	1.5
			8h. ALL Talk Group - Diversity & Inclusion	This session does not qualify for CPE Credit.	0
Session 9	9:45 AM	10:45 AM	9a. BD/IA - Beware: State Rules May Impact Federally Registered Firms (Intermediate)	Regulatory Ethics - Technical	1
60 Minute Session			9b. IA/IC - Records Management (Advanced)	Management Services - Technical	1
			9c. IC - Navigating the Challenges of the Mutual Fund Compliance Program (Intermediate)	Regulatory Ethics - Technical	1
			9d. MA - Regulatory Review (OPEN)	Regulatory Ethics - Technical	1
			9e. ALL - Exploration of Artificial Intelligence with Marketing Compliance (Advanced)	Information Technology - Technical	1
			9f. BD Lab - Conflicts of Interest & Employee Reporting Requirements (Intermediate)	Regulatory Ethics - Technical	1
			9g. IA/PF Lab - Conflicts of Interest & Employee Reporting Requirements (Intermediate)	Regulatory Ethics - Technical	1
			9h. ALL Forum - Small Firms (Intermediate)	Regulatory Ethics - Technical	1
Session 10	11:00 AM	12:00 PM	10a. BD - Advanced Considerations for Performing Due Diligence (Advanced)	Auditing - Technical	1
60 Minute Session			10b. IA - Global Marketing and Distribution Compliance Practices (Intermediate)	Regulatory Ethics - Technical	1
			10c. ALL - Emerging Issues in Insider Trading (OPEN)	Regulatory Ethics - Technical	1
			10d. ALL - Navigating the Privacy Landmines (Intermediate)	Regulatory Ethics - Technical	1
			10e. ALL - Tapping the Power of Data Analytics and Compliance Automation (Basic)	Computer Software & Applications - Non-Technical	1
			10f. BD - The SEC's Challenging New Guidance on the "Solely Incidental" Broker Exemption	Regulatory Ethics - Technical	1
			10g. MA Forum - Municipal Advisor Issues (Intermediate)	Regulatory Ethics - Technical	1