

2020 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>
DAY 1					
Session 1	10:00 AM	11:15 AM	1a. IA/IC - Regulatory Review (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			1b. BD - Creating Effective Oversight Structures for Broker-Dealers	Regulatory Ethics - Technical	1.5
			1c. PF - Legal and Compliance Issues for Private Fund Structures	Production - Non-Technical	1.5
			1d. ALL - Managing Your Code of Ethics	Regulatory Ethics - Technical	1.5
			1e. BD/IA - Protecting Vulnerable Adults Lab	Behavioral Ethics - Non-Technical	1.5
			1f. ALL - Canadian Compliance Forum	Regulatory Ethics - Technical	1.5
Session 2	11:45 AM	1:00 PM	2a. PF - Regulatory Review (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			2b. IC - Navigating Your Mutual Fund Compliance Program	Specialized Knowledge - Technical	1.5
			2c. ALL - The Roles of Compliance During Corporate Change	Regulatory Ethics - Technical	1.5
			2d. BD - Annual Testing & Review of Business Lab	Regulatory Ethics - Technical	1.5
			2e. ALL - Cultural Intelligence and Bias Lab	Personal Development - Non-Technical	1.5
			2f. BD - Field Audit Program	Auditing - Technical	1.5
Session 3	2:00 PM	3:15 PM	3a. BD - Regulatory Review (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			3b. IA/PF - Understanding the SEC's Proposed Advertising Rules	Regulatory Ethics - Technical	1.5
			3c. ALL - Data Privacy Regulations and Trends	Regulatory Ethics - Technical	1.5
			3d. ALL - Diversity & Inclusion Considerations for Compliance	Personal Development - Non-Technical	1.5
			3e. ALL - Locating and Remediating Cybersecurity Issues Lab	Information Technology - Technical	1.5
			3f. IA/IC/PF - Trading Compliance Issues Forum	Regulatory Ethics - Technical	1.5
Session 4	3:45 PM	5:00 PM	4a. ALL - Insider Trading Regulatory Perspectives (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			4b. BD/IA - Marketing & Providing Services to Clients Outside the U.S.	Regulatory Ethics - Technical	1.5
			4c. ALL - Essential Issues Impacting Retirement Accounts	Specialized Knowledge - Technical	1.5
			4d. ALL - Financial Forensics Lab	Auditing - Technical	1.5
			4e. IA - Evolving Custody Responsibilities Lab	Regulatory Ethics - Technical	1.5
			4f. MA - Municipal Advisor Forum	Regulatory Ethics - Technical	1.5
DAY 2					
Session 5	10:00 AM	11:15 AM	5a. BD - Enforcement Issues (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			5b. IA - Creating Effective Oversight Structures for Investment Advisers	Regulatory Ethics - Technical	1.5
			5c. ALL - FinTech & RegTech Innovations	Information Technology - Technical	1.5

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			5d. ALL - When Legal & Ethical Considerations Collide	Behavioral Ethics - Non-Technical	1.5
			5e. ALL - Performing Robust Testing of Policies & Procedures Lab	Regulatory Ethics - Technical	1.5
			5f. IA/IC/PF - Pricing and Valuation Models Lab	Economics - Technical	1.5
Session 6	11:45 AM	1:00 PM	6a. MA - Regulatory Review (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			6b. BD/IA - State Fiduciary and Best Interest Regulations (OPEN)	Regulatory Ethics - Technical	1.5
			6c. ALL - Current Issues in Cybersecurity	Information Technology - Technical	1.5
			6d. ALL - Third Party Governance	Regulatory Ethics - Technical	1.5
			6e. ALL - Effective Written and Oral Business Communications Lab	Communications and Marketing - Non-Technical	1.5
			6f. IA/IC - Exchange-Traded Products Forum	Specialized Knowledge - Technical	1.5
Session 7	2:00 PM	3:15 PM	7a. IA - Compliance Passport: Perspective Beyond the U.S. Borders	Regulatory Ethics - Technical	1.5
75 Minute Session			7b. ALL - FCPA and Other Fraud Concerns	Regulatory Ethics - Technical	1.5
			7c. ALL - Expanding the Table: Advancing Women in Compliance	Personal Development - Non-Technical	1.5
			7d. ALL - Ethics of Technology	Behavioral Ethics - Non-Technical	1.5
			7e. BD/MA - Regulatory Exams: Best Preparation Lab	Regulatory Ethics - Technical	1.5
			7f. BD/IA - Small Firm Application of Reg BI Forum	Regulatory Ethics - Technical	1.5
Session 8	3:45 PM	5:00 PM	8a. IA/IC/PF - Enforcement Issues (OPEN)	Regulatory Ethics - Technical	1.5
75 Minute Session			8b. ALL - Standards of Care	Regulatory Ethics - Technical	1.5
			8c. ALL - Preparation for Disasters, Pandemics and Other Unexpected Events	Business Management & Organization - Non-Technical	1.5
			8d. ALL - Artificial Intelligence and Crowdsourcing	Information Technology - Technical	1.5
			8e. ALL - Practical Solutions for Small Firms Lab	Regulatory Ethics - Technical	1.5
			8f. BD/MA - Bank Affiliates Forum	Regulatory Ethics - Technical	1.5
DAY 3					
Session 9	10:00 AM	11:15 AM	9a. BD/IA - Institutional Conflicts of Interest	Regulatory Ethics - Technical	1.5
75 Minute Session			9b. IA - Beware: State Rules May Impact Federally Registered Firms (OPEN)	Regulatory Ethics - Technical	1.5
			9c. ALL - Fundamentals of Anti-Money Laundering	Regulatory Ethics - Technical	1.5
			9d. PF - Applying IA Rules to Private Funds Lab	Regulatory Ethics - Technical	1.5
			9e. BD - Trade and Ownership Reporting Requirements	Regulatory Ethics - Technical	1.5
Session 10	11:45 AM	1:00 PM	10a. BD/IA - The Cannabis Compliance Conundrum	Regulatory Ethics - Technical	1.5
75 Minute Session			10b. ALL - Non-Traditional Alternative Investments	Regulatory Ethics - Technical	1.5

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			10c. ALL - Building a Strong Culture of Compliance & Ethics	Behavioral Ethics - Non-Technical	1.5
			10d. ALL - Internal Risks: Due Diligence Processes	Management Services - Technical	1.5
			10e. IA/IC/PF - Regulatory Exams: Best Preparation Lab	Regulatory Ethics - Technical	1.5
Session 11	2:00 PM	3:15 PM	11a. ALL - Small Firm Decisions: Outsource or Automate?	Regulatory Ethics - Technical	1.5
75 Minute Session			11b. Compliance's Role in ESG Investing and Corporate Engagement	Regulatory Ethics - Technical	1.5
			11c. BD/MA - Advertising in an Effective and Compliant Manner Lab	Regulatory Ethics - Technical	1.5
			11d. IA/IC/PF - Annual Testing & Review of Business Lab	Regulatory Ethics - Technical	1.5
			11e. ALL - Identifying Critical Risks and Assessing Your Risk Matrix Lab	Management Services - Technical	1.5
Session 12	3:45 PM	5:00 PM	12a. BD/IA - Lessons Learned from Implementing Reg BI	Regulatory Ethics - Technical	1.5
75 Minute Session			12b. ALL - The Impact of Digital Assets on Your Compliance Program	Regulatory Ethics - Technical	1.5
			12c. PF - Annual Testing and Review of Business Lab	Regulatory Ethics - Technical	1.5
			12d. ALL - Implementing a Compliance Calendar Lab	Business Management & Organization - Non-Technical	1.5
			12e. IC - Investment Company Issues and Trends	Regulatory Ethics - Technical	1.5