

CPE Fields of Study for the 2021 National Conference

Time (EST)	Session Name	Level	Length of Session	CPE	Fields of Study
DAY 1 - MONDAY, NOVEMBER 8, 2021					
9:00 - 9:45	Regulatory Keynote Address				n/a
10:00 - 11:15	1a. ALL - Data Privacy Regulations and Trends (Intermediate)	Intermediate	75 min	1.5	Information Technology – Technical
10:00 - 11:15	1b. ALL – The DOL Rule (Again! Well Not Exactly...) (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	1c. IA/IC/PF – SEC Regulatory Review (OPEN)	OPEN	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	1d. MA – MSRB & SEC Regulatory Review (OPEN)	OPEN	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	1e. PF – Legal and Compliance Issues for Private Fund Structures (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	1f. BD – LAB - Managing Marketing: Advertising Compliantly (Basic)	Basic	75 min	1.5	Communications and Marketing – Non-technical
11:15 - 11:30	BREAK				
11:30 - 12:45	2a. ALL - Preparation for Disasters and Other Unexpected Events (Intermediate)	Intermediate	75 min	1.5	Information Technology – Technical
11:30 - 12:45	2b. ALL - Fundamentals of Anti-Money Laundering (Basic)	Basic	75 min	1.5	Regulatory Ethics – Technical
11:30 - 12:45	2c. ALL-Legal, Compliance and Risk Responsibilities During Strategic Corporate Transactions (Advanced)	Advanced	75 min	1.5	Management Services – Technical
11:30 - 12:45	2d. BD – FINRA Regulatory Review (OPEN)	OPEN	75 min	1.5	Regulatory Ethics – Technical
11:30 - 12:45	2e. IA/PF - The New SEC Investment Adviser Marketing Rule – What You Need to Know -(Intermediate)	Intermediate	75 min	1.5	Communications and Marketing – Non-technical
11:30 - 12:45	2f. ALL – LAB – Handling Customer Complaints: It’s Every Firm’s Problem (Intermediate)	Intermediate	75 min	1.5	Communications and Marketing – Non-technical
11:30 - 12:45	2g. Canadian Hot Topics Talk Group	Talk Group	Talk Groups are not eligible for CE Credit		N/A
12:45 - 1:45	Networking Luncheon & Business Meeting				
1:45 - 2:00	BREAK				
2:00 - 3:15	3a. ALL – Innovation or Disruption? The Impact of FinTech and RegTech on Compliance Programs (Intermediate)	Intermediate	75 min	1.5	Information Technology – Technical
2:00 - 3:15	3b. ALL – Ethical Best Practices: Taking Tone at the Top to a Crescendo (Advanced)	Advanced (CLE Ethics)	75 min	1.5	Behavioral Ethics – Non-technical
2:00 - 3:15	3c. IA/PF – What to Know Before Going Global (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:00 - 3:15	3d. ALL - LAB - How to Detect and Prevent Manipulative Trading (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:00 - 3:15	3e. BD/IA – Dual Registrants from Small Firms Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
2:00 - 3:15	3f. BD/IA – Dual Registrants from Medium to Large Firms Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
2:00 - 3:15	3g. Pension Funds, Foundations and Endowments Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
2:00 - 3:15	3h. BD/IA – Insurance Compliance Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
3:15 - 3:30	BREAK				
3:30 - 4:45	4a. ALL - Insider Trading Regulatory Perspectives (OPEN)	Intermediate	75 min	1.5	Auditing - Technical
3:30 - 4:45	4b. ALL - Solutions for Small Firms: Doing More with Less (Intermediate)	Intermediate	75 min	1.5	Management Services - Technical
3:30 - 4:45	4c. BD/IA – Protecting Our Most Vulnerable Clients (Basic)	Basic	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	4d. ALL - LAB- Regulatory Exams: Best Preparation (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	4e. IA – Asia-Pacific Global Advisors Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
3:30 - 4:45	4f. IC – Investment Company Compliance Professionals Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
3:30 - 4:45	4g. MA – Best Practices for Municipal Advisors Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
3:30 - 4:45	4h. BD – Retail Firms Talk Group	Talk Group	Talk Groups are not eligible for CE Credit	n/a	N/A
			TOTAL DAY 1:	6.00	
4:45 - 6:15	Networking Reception				

DAY 2 - TUESDAY, NOVEMBER 9, 2021

8:45 - 9:45	General Session - Developments in ESG Investing	All	60 min	1.2	Regulatory Ethics - Technical
9:45 - 10:00	BREAK				
10:00 - 11:15	5a. ALL - The Impact of Digital Assets on Your Compliance Program (Intermediate)	Intermediate	75 min	1.5	Information Technology – Technical
10:00 - 11:15	5b. ALL - The Pandemic and Beyond: Overcoming Compliance Challenges in 2021 (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	5c. BD – Post-Implementation Best Practices for Reg BI (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	5d. IC - Investment Company Issues and Trends (Advanced)	Advanced	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	5e. PF - Advisers Act Compliance for PF Managers: Beyond Theory, Into Practice (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	5f. ALL – LAB - Delving into Investment Due Diligence (Basic)	Basic	75 min	1.5	Regulatory Ethics – Technical
10:00 - 11:15	5g. BD – Institutional Firms Talk Group	Talk Group	Talk Groups are no	n/a	N/A
11:15 - 11:30	BREAK				
11:30 - 12:30	6a. ALL – The Business of Workplace Retirement Plans (Basic)	Basic	60 min	1.2	Specialized Knowledge – Technical
11:30 - 12:30	6b. ALL - Will AI Revolutionize the Financial Services Industry? (Intermediate)	Intermediate	60 min	1.2	Information Technology – Technical
11:30 - 12:30	6c. ALL – Diversity, Equity, and Inclusion - The Conversation Continues (Intermediate)	Intermediate	60 min	1.2	Behavioral Ethics – Non-technical
11:30 - 12:30	6d. BD –Social Media – Compliance Best Practices (Intermediate)	Intermediate	60 min	1.2	Communications and Marketing – Non-technical
11:30 - 12:30	6e. IA/IC/PF – SEC Enforcement Issues (OPEN)	OPEN	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	6f. ALL - Ethical Decision-Making for Compliance Lab (Intermediate)	Intermediate (CLE Ethics)	60 min	1.2	Behavioral Ethics – Non-technical
11:30 - 12:30	6g. Branch Inspection Talk Group	Talk Group	Talk Groups are no	n/a	N/A
12:30 - 1:30	Networking Luncheon & NSCP Business Meeting				
1:30 - 2:00	BREAK & Dessert with the Exhibitors				
2:00 - 3:15	7a. ALL - Lessons in Cybersecurity: Regulatory Expectations (Intermediate)	Intermediate	75 min	1.5	Information Technology – Technical
2:00 - 3:15	7b. BD – Effective Oversight Structures for Broker-Dealers (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:00 - 3:15	7c. IA – The Impact of State Rules on Federally Registered Firms (Advanced) (OPEN)	OPEN	75 min	1.5	Regulatory Ethics – Technical
2:00 - 3:15	7d. IA/IC/PF – Managing the Challenges and Uncertainty of Pricing and Valuation Practices (Intermediate)	Intermediate	75 min	1.5	Economics – Technical
2:00 - 3:15	7e. IC – Implementing Your Mutual Fund Compliance Program (Basic)	Basic	75 min	1.5	Regulatory Ethics – Technical
2:00 - 3:15	7f. ALL - LAB - How to Detect and Prevent Misappropriation (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:00 - 3:15	7g. Diversity, Equity & Inclusion Talk Group	Talk Group	Talk Groups are no	n/a	N/A
3:15 - 3:30	BREAK				
3:30 - 4:45	8a. ALL – Know Your Vendors: Third Party Due Diligence, Oversight & Governance (Advanced)	Advanced	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	8b. BD – Best Practices for Dealing with Enforcement Issues (OPEN)	OPEN	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	8c. IA - Understanding the Ever-changing Landscape of Alternative Investment Strategies (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	8d. IA/PF - Managing Compliance and Regulatory Requirements in Europe –(Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	8e. All – When Reporting Compliance Issues Up the Chain Doesn’t Work (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:30 - 4:45	8f. ALL – LAB - Breaking the Stress Cycle for More Effectiveness (Basic)	Basic	75 min	1.5	Personal Development – Non-technical
3:30 - 4:45	8g. Private Fund Issues Talk Group	Talk Group	Talk Groups are no	n/a	N/A
			TOTAL DAY 2:	6.90	

DAY 3 - WEDNESDAY, NOVEMBER 10, 2021

8:00 - 9:00 Breakfast with the Exhibitors					
9:00 - 10:15	9a. ALL – Managing CCO Liability in Uncertain Times (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
9:00 - 10:15	9b. ALL - Performing Robust Testing of Policies & Procedures (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
9:00 - 10:15	9c. ALL - Ethics of Managing Personnel Conflicts of Interest: Challenges for Dual Registrants (Intermediate)	Intermediate (CLE Ethics)	75 min	1.5	Behavioral Ethics – Non-technical
9:00 - 10:15	9d. IA/PF - Performance Advertising Rules: Now and Into the Future (Intermediate)	Intermediate	75 min	1.5	Communications and Marketing – Non-technical
10:15 - 10:30 BREAK					
10:30 - 11:30	10a. ALL – Converting Critical Enterprise Risks into a Usable Risk Matrix (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:30 - 11:30	10b. ALL – Insider Trading Trends and Evolving Compliance Best Practices (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:30 - 11:30	10c. ALL – ERISA: Recent Developments and Hot Topics (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:30 - 11:30	10d. IA - Evolving Custody Responsibilities (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 EVENT CONCLUDES					
			TOTAL DAY 3:	2.70	
				TOTAL ALL DAYS:	15.6