



# 2010 Desktop Seminar Calendar

Desktop Seminars provide online training on important regulatory tasks, rule changes and industry hot topics. Receive valuable compliance knowledge and insight during these two-hour sessions presented by industry experts. Benefit from their real-world experiences as they offer tips and best practices for managing the compliance challenges you face daily. Save on travel expenses when participate in Desktop Seminars and obtain the education you need to right from the comfort of your desk.

Date	Title	Location	Time
January 12	Business Continuity Planning	Online	1:00 p.m. - 3:00 p.m. (ET)
January 26	Framework of the Act—Duty to Supervise; Who Must Register; Exclusions and Exemptions; State and Federal Responsibilities	Online	1:00 p.m. - 3:00 p.m. (ET)
January 28	Books and Records—Today’s Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
February 2	Brochure Rule; Insider Trading; Codes of Ethics; Contracts	Online	1:00 p.m. - 3:00 p.m. (ET)
February 4	Anti-Fraud Rules—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
February 9	Anti-Fraud Rules—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting	Online	1:00 p.m. - 3:00 p.m. (ET)
February 11	Compliance Programs Rules and Mastering the Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
February 18	Form ADV Part I and Regulatory Reporting	Online	1:00 p.m. - 3:00 p.m. (ET)
February 23	Form ADV Part II and Identifying and Disclosing Conflicts of Interest	Online	1:00 p.m. - 3:00 p.m. (ET)
March 2	Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
March 4	Understanding the New Amendments to the SEC Custody Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
March 9	Investment Adviser Codes of Ethics—Requirements and Best Practices	Online	1:00 p.m. - 3:00 p.m. (ET)
March 11	Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
March 16	Preparing for an SEC Examination: Identifying Priorities for 2010	Online	1:00 p.m. - 3:00 p.m. (ET)
March 18	Safeguarding Information—Reg S-P and Other Privacy Mandates	Online	1:00 p.m. - 3:00 p.m. (ET)
April 19	Mastering Critical Skills for High Performance Compliance Professionals	Fort Lauderdale and Online	4:30 p.m. - 6:30 p.m. (ET)
April 22	Professional Ethics (qualifies for IACCP CE ethics credit)	Fort Lauderdale and Online	8:30 a.m. - 11:00 a.m. (ET)
May 11	Trading— Practices, Portfolio Compliance and Valuation	Online	1:00 p.m. - 3:00 p.m. (ET)
May 13	Social Networking Compliance Challenges for IAs and B-Ds	Online	1:00 p.m. - 3:00 p.m. (ET)
May 18	Trading—Best Execution, Soft Dollars and Directed Brokerage	Online	1:00 p.m. - 3:00 p.m. (ET)
May 20	Anti-Money Laundering Risk Management for IAs and B-Ds	Online	1:00 p.m. - 3:00 p.m. (ET)
June 8	Form ADV Part I and Regulatory Reporting	Online	1:00 p.m. - 3:00 p.m. (ET)
June 10	Form ADV Part II and Identifying and Disclosing Conflicts of Interest	Online	1:00 p.m. - 3:00 p.m. (ET)
June 15	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
June 17	Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)

*All seminars qualify for IACCP CE general credits.*

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Date	Title	Location	Time
July 20	Real World Compliance for the Small Adviser	Online	1:00 p.m. - 3:00 p.m. (ET)
July 22	Preparing for an SEC Examination: Identifying Priorities for 2010	Online	1:00 p.m. - 3:00 p.m. (ET)
August 3	Investment Adviser Codes of Ethics—Requirements and Best Practices	Online	1:00 p.m. - 3:00 p.m. (ET)
August 5	Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
September 14	Developing a Tailored IA Compliance Testing Program: Forensic Focus	Online	1:00 p.m. - 3:00 p.m. (ET)
October 4	Mastering Critical Skills for High Performance Compliance Professionals	Scottsdale and Online	2:30 p.m. - 4:30 p.m. (PT)
October 7	Professional Ethics (qualifies for IACCP CE ethics credit)	Scottsdale and Online	10:00 a.m. - 12:00 p.m. (PT)
October 26	RIA Year-End Compliance Check-Up	Online	1:00 p.m. - 3:00 p.m. (ET)
November 2	Framework of the Act—Duty to Supervise; Who Must Register; Exclusions and Exemptions; State and and Federal Responsibilities	Online	1:00 p.m. - 3:00 p.m. (ET)
November 4	Books and Records—Today's Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
November 9	Brochure Rule; Insider Trading; Codes of Ethics; Contracts	Online	1:00 p.m. - 3:00 p.m. (ET)
November 16	Anti-Fraud Rules—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
November 18	Anti-Fraud Rules—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting	Online	1:00 p.m. - 3:00 p.m. (ET)
November 30	Compliance Programs Rules and Mastering the Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
December 7	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
December 14	The Architecture of a Sustainable IA Compliance Program	Online	1:00 p.m. - 3:00 p.m. (ET)

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