

PRELIMINARY

ANNUAL EDUCATIONAL CONFERENCE 2019

**The Ritz-Carlton Amelia Island
March 4-6**

AGENDA OF EVENTS

(Attire: Business Casual)

Monday, March 4

8:00 AM – 5:00 PM **Closed Door:** FINRA, NASAA, LRC Committee meetings
(By Invite Only; refer to hotel signs for meeting room locations)

4:30 PM – 6:00 PM **REGISTRATION Opens to All**
ARM Attendee Networking Reception
Talbot Wing

6:00 PM – **Dinner on own to catch up with peers***

***Trolley service will be provided for attendees to visit downtown Amelia & will run from 6:00PM to 10:00PM. Last shuttle departs Amelia restaurant/shopping area at approximately 9:30PM for return to hotel. Plan accordingly!**

Tuesday, March 5

(Attire: business casual)

All meetings take place in the Talbot Wing

7:00- 8:00 AM

***Breakfast Buffet
Registration Open***

7:00 AM – 5:30 PM

Vendor Fair

8:00 – 8:15 AM

**WELCOME REMARKS - Michele Van Tassel, ARM
President/Credit Suisse**

8:15 – 9:15 AM

Keynote Speaker - Darryl Ross

9:30 – 10:30 AM

NASAA Panel on State Issues

Senior State Representatives will address topics such as state enforcement trends in the BD/AG area; expungement; senior investor issues; state legislative and regulatory initiatives focusing on registration and licensing; and investment adviser regulatory updates.

10:30 – 10:45 AM

Business/Networking Break

10:45 – 11:45 AM

FINRA - I

Subject matter TBA

Tuesday, March 5
(Cont'd)

11:55 – 1:00 PM

FINRA - II

Subject matter TBA

1:00 – 2:00 PM

Networking Luncheon

Co-sponsored with Knopman Marks Financial Training

2:15 – 3:15 PM

FINRA – III

Subject matter TBA

Tuesday, March 5
(Cont'd)

3:15 – 3:45 PM ***Business/Networking Break***

4:00 – 5:00 **NFA/MSRB Panel**
Subject matter TBA

5:30 PM ***Vendor Fair closes for day***

6:00 – 7:30 PM ***Business/Networking Reception – Talbot Wing***

7:30 – 11:00 PM ***Dinner/Dance****
Hosted and Sponsored by ARM

NOTE: *All attendees AND guests MUST be pre-registered and wear name tags for admission*

Wednesday, March 6

(Attire: business casual)

8:00 - Noon ***Vendor Fair Resumes***

7:30 – 9:00 AM ***Breakfast Buffet***

8:30 – 9:00 AM **Welcome Remarks – NASAA President**

9:15 – 10:30 AM **Round Tables with Regulators and Subject Matter Experts**

Here you will be given an opportunity for direct Q&A to any issues covered during conference for which you may need further clarification. *Proposed* topic tables TBA.

10:30 – 10:45 AM ***Check out/Break***

10:45 – 11:45 AM **Industry Best Practices Panel – Industry (only) Forum**

- Moderated by ARM Executive Committee

Back by popular demand, this session is designed to give industry (only) participants an opportunity to engage in highly interactive discussions regarding best practices and broker/dealer hot topics. What challenges are you facing today? Do you have a question for other industry professionals? Do you want to ask others how they handle issues in their firms? This session is a great way to network and hear how other firms handle their day-to-day registration challenges. You can expect to participate in discussions on a wide array of topics. ARM Executive Board will also share initiatives it has been a part of this past year.

11:45 - Noon **ARM Annual Membership Meeting**

Noon ***Vendor Fair and Conference Closes***

***Travel safe!
See you next year!***

NOTE NEW TIME AND PLACE!!!

****The Ritz-Carlton Sarasota*
June 8-10, 2020***