



ACA
COMPLIANCE GROUP

ACA Insight

SPRING 2012
COMPLIANCE CONFERENCE ►

APRIL 25-27, 2012
FORT LAUDERDALE, FL

**REGISTER
NOW!**



HEAR from industry experts, leading attorneys, and experienced CCOs about the challenging compliance issues that firms face in the industry today.

LEARN from the best in a forum that is exciting, well-paced, and interactive, giving you plenty of opportunity to ask questions of the speakers and your fellow peers. Experience the ACA difference!

NETWORK with your peers, attorneys, consultants, and service providers to increase your opportunities to grow and strengthen your business.

TO RECEIVE DISCOUNT RATES,
REGISTER NOW! ►

Why Should You Attend This Conference?

1. Be informed about recent regulatory updates.

■ CCO liability, managing retirement assets, AML and FCPA are just a few of the recent changes in the industry. U.S. and international regulation of investment advisers and private fund managers are increasing at a rapid pace as the financial industry becomes more global. Learn what these updates are and how they affect you.

2. Earn CLE and CPE credits.

■ ACA will apply for CPE credits and CLE credit in certain states. Leave the paperwork up to us. Unlike other conferences, we will apply as a CLE-provider to as many states as requested by our attendees.

3. Cost effective registration.

■ We are always sensitive to your budgetary constraints and continue to maintain our low registration fees. C³ clients and paying *ACA Insight* subscribers receive a special discount off the current registration fees.

4. Outstanding networking opportunities.

■ One of the biggest factors that differentiate our conference from others is the intimate setting. You will have access to our speakers, which include attorneys from well-recognized law firms, expert consultants, and your fellow-CCOs and other compliance peers. This is not your traditional “sit-down-and-listen” conference. Our “open forum” format allows you to ask your questions directly to the panelists. Your questions will be answered. You will also have the opportunity to join peer groups to meet with like-minded firms and see where you stand with the rest of the industry.

5. Meet service vendors in our industry.

■ Join us in our Exhibitors Hall and meet with service providers that can assist you in your day-to-day operations and responsibilities as an investment manager. Knowledgeable representatives will be available to answer your questions about their services and give you demonstrations of their products.

YOU'LL **LEARN FROM THE BEST** IN THE
INVESTMENT MANAGEMENT INDUSTRY

REGISTER ONLINE TODAY AND SAVE ►

CONFERENCE AGENDA

WEDNESDAY APRIL 25, 2012

12:00 p.m. **PRE-REGISTRATION**

1:00 p.m. **PRE-CONFERENCE WORKSHOP: COMPLIANCE PROGRAM MANAGEMENT**

The pre-conference workshop is designed to provide required knowledge and concise and practical guidance to compliance professionals across the spectrum of experience levels.

CHOOSE ONE OF THE FOLLOWING:

TRACK A –

Introduction to Investment Adviser Compliance

Track A is designed to provide an overview of investment adviser regulation. This track is appropriate for newer compliance professionals and those wishing for a refresher on current SEC regulations.

Session 1 - Regulatory Background

- Overview of the structure and functions of the SEC
- Overview of the Investment Advisers Act and other federal securities laws applicable to investment managers
- Rule 206(4)-7 – The Compliance Program Rule

TRACK B –

Advanced Investment Adviser Compliance

Track B is designed to provide a survey of best practices and practical solutions in the implementation and maintenance of an established compliance program. This track is appropriate for experienced compliance professionals with a solid background in the regulatory requirements and who are looking for practical guidance and tips to improve their current program.

Session 1 – Compliance Program Infrastructure

- Organization and Documentation – Practical tips for records management
- Supervisory Structure – Managing your time and efficiency
- Technology – Leveraging technology to improve the effectiveness of your program

2:15 p.m. **NETWORKING BREAK**

2:30 p.m. **PRE-CONFERENCE WORKSHOP: COMPLIANCE PROGRAM MANAGEMENT**

TRACK A –

Introduction to Investment Adviser Compliance

Session 2 – The Compliance Program Rule

- Conducting a risk assessment of your advisory operations
- Designing formal compliance policies and procedures
- Conducting an annual review

TRACK B –

Advanced Investment Adviser Compliance

Session 2 – Human Resources Management

- Reinforcing the “culture of compliance”
- Designing effective training programs for employees
- Communications with senior management

3:45 p.m. **NETWORKING BREAK**

4:00 p.m. **GENERAL SESSION – CCO LIABILITY**

- Rule 206(4)-7 requirements for the CCO role
- A survey of recent SEC enforcement actions citing CCOs
- A discussion of insurance options

5:00 p.m. **NETWORKING RECEPTION**

THURSDAY APRIL 26, 2012

7:00 a.m. **CONTINENTAL BREAKFAST/REGISTRATION**

8:00 a.m. **WELCOMING REMARKS**

8:15 a.m. **KEYNOTE SPEAKER**

9:10 a.m. **REGULATORY UPDATES AND COMPLIANCE HOT TOPICS**

10:45 a.m. **NETWORKING BREAK**

11:00 a.m. **CHOOSE ONE OF THE FOLLOWING**

COMPLIANCE CHALLENGES IN MANAGING RETIREMENT ASSETS

- Prohibited transactions
- Pay to play
- Gifts and entertainment
- ERISA regs. and the new fiduciary standards
- IRS requirements
- Private funds and plan assets

ANTI-MONEY LAUNDERING AND CORRUPT PRACTICES REGULATIONS FOR ADVISERS

- Proposed AML regulations
- FCPA
- FATCA

12:00 p.m. **NETWORKING LUNCHEON**

1:00 p.m. **CHOOSE ONE OF THE FOLLOWING**

PEER GROUP:
Equity Managers

PEER GROUP:
Debt Managers

CFTC/NFA REGULATION FOR SEC

- Impact of the rescission of the Rule 4.13(a)(4) exemption
- Calculation of the five percent “de minimis exemption” and the alternative net notional test for purposes of Rule 4.13(a)(3)
- Registration exemptions available to CTAs in light of the amendments to Rule 4.14(a)(8)(iii)(D)
- Registration of non-U.S. based CPOs
- Filing of Forms CPO-PQR and CTA-PR
- Planning for CFTC registration and NFA membership
- Compliance obligations of CFTC Registrants and NFA Members

2:15 p.m. **NETWORKING BREAK**

2:25 p.m. **CHOOSE ONE OF THE FOLLOWING:**

BEST EXECUTION IN NON-TRADITIONAL MARKETS

- Derivatives
- OTC
- Forex
- Private transactions

OVERSIGHT OF THIRD PARTY SERVICE PROVIDERS

- Due diligence visits
- Contracts
- Reporting
- Privacy/Disaster Recovery

(continues)

CONFERENCE AGENDA

THURSDAY APRIL 26, 2012 *(continued)*

3:40 p.m. **NETWORKING BREAK**

4:00 p.m. **REGULATORY FILINGS FOR ADVISERS**

- Form ADV
- Section 13 Filings
- Section 16 Filings

5:15 p.m. **NETWORKING RECEPTION**

FRIDAY APRIL 27, 2012

7:00 a.m. **BREAKFAST WITH THE EDITOR – ACA INSIGHT**

8:00 a.m. **CHOOSE ONE OF THE FOLLOWING:**

MARKETING CONSIDERATIONS FOR SEPARATE ACCOUNT MANAGERS

- GIPS
- Performance advertising
- Use of social networks
- Use of placement agents
- Use of solicitors

MARKETING CONSIDERATIONS FOR PRIVATE FUND MANAGERS

- Avoiding a general solicitation or public offering
- When advisory activities may require a broker-dealer registration
- Performance advertising
- Use of placement agents

9:15 a.m. **PEER GROUPS: TRADITIONAL/SMA ADVISERS, HEDGE FUND MANAGERS, PRIVATE EQUITY/DEBT AND REAL ESTATE MANAGERS**

10:30 a.m. **NETWORKING BREAK**

10:50 a.m. **MANAGING A SUCCESSFUL SEC EXAMINATION**

- Document request management
- Interview preparation
- Interactions with examiners
- New audit program

12:20 p.m. **CONCLUDING REMARKS**

12:30 p.m. **END OF CONFERENCE**

NOTE:

- Workshop session and peer group roundtables are closed to media and regulators.
- Schedule subject to change. Please visit ACA's website for the most up to date conference information.



REGISTER NOW ▶

	Conference Only	Workshop + Conference
REGULAR REGISTRATION after March 23, 2012	\$1,550	\$1,800

As always, C³ clients and individually paying ACA Insight subscribers will receive a special discount off the current registration rate. Important: Please contact Susan Parsons at sparsons@acacompliancegroup.com for your discount code. If you do not enter the discount code when registering, you will not receive a discount.

THE RITZ-CARLTON

1 North Fort Lauderdale Beach Blvd., Fort Lauderdale, FL 33304

FOR HOTEL RESERVATIONS

ACA has reserved a block of rooms at The Ritz-Carlton at the special conference rate of \$249 per night, plus tax. [Book Online](#) through The Ritz-Carlton's special ACA Conference Reservation Page using group code BBJBJA, or call 1-800-542-8680 and mention you are reserving for ACA's compliance conference. Please book early to reserve your room.

For registration questions or more information regarding refund, cancellation, or complaint policies, please contact Susan Parsons at sparsons@acacompliancegroup.com or 973.631.1085.

ACA Compliance Group has been approved by the National Association of State Boards of Accountancy (NASBA), to be a sponsor of continuing professional education on the National Registry of CPE Sponsors. This conference is approved for a total of 10 CPE credits. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. www.nasba.org.



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