AGENDA

# North Carolina Investment Adviser

# Regulation Workshop

## 9:00 am – 4:00 pm

***Presented by NC Securities Division***

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| 9:00 am – 9:30 am | Registration***Coffee and Snacks***  |  |
| 9:30 am – 9:40 am | Welcome |  |
| 9:45 am – 11:30 | Investment Adviser Fiduciary Duty and Best Practices*Presented by: Elizabeth Guido ChFC®, CLU®, CFE* |  |
| 11:30 – Noon | **Investor Education*****Presented by: John Maron*** |  |
| Noon – 1:00 PM  | Lunch |  |
| 1:00 pm – 3:30 pm | Investment Adviser Fiduciary Duty and Best Practices *(continued)* and Division Examination Program ***Presented by: Elizabeth Guido ChFC®, CLU®, CFE*** |  |

**3:30 pm – 4:00 pm Question and Answer Session/Wrap-Up**

## Additional: Please take a minute and complete an evaluation

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| North CarolinaDepartment of the Secretary of State *Hon. Elaine F. Marshall, Secretary* Securities Division   |
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| **You can contact us at:**The Securities DivisionDepartment of the Secretary of StatePO Box 29622Raleigh, NC 27626-0622**(919) 807-2100**  |
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| **For overnight mail:**The Securities DivisionDepartment of the Secretary of State2 South Salisbury StRaleigh, NC 27601-2903  |

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| **The Securities Hotline** (800) 688-4507  |
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