AGENDA

# North Carolina Investment Adviser

# Regulation Workshop

## 8:30 am – 3:30 pm

***Presented by NC Securities Division***

|  |  |  |
| --- | --- | --- |
| 8:30 am – 9:00 am | Registration***Coffee and Snacks***  |  |
| 9:00 am – 9:10 am | Welcome |  |
| 9:10 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 – 3:00 pm | Investment Adviser Fiduciary Duty and Best Practices *(continued)* and Division Examination Program ***Presented by: Elizabeth Guido ChFC®, CLU®, CFE*** |  |

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

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

|  |
| --- |
|  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|

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

|  |
| --- |
| **For overnight mail:**The Securities DivisionDepartment of the Secretary of State2 South Salisbury StRaleigh, NC 27601-2903  |

 |
| **The Securities Hotline** (800) 688-4507  |
|  Kevin M. Harrington  |
| Director, Securities Division and Deputy Securities Administrator kharrington@sosnc.govAllan C.J. RussSenior Enforcement Attorneyaruss@sosnc.govElizabeth Guido, ChFC®, CLU®, CFESenior Financial Investigatoreguido@sosnc.govJohn MaronDirector, Investor Education Programjmaron@sosnc.gov |
|  |
|  |

 |