

Seminar Schedule

- 8:30am-9:00am** Check-in and Breakfast
- 9:00am-9:10am** Introduction
Steve Parker, Managing Member, Parker MacIntyre
- 9:10am-10:20am** The Fiduciary Standard of Conduct for RIAs
Steve Parker, Managing Member, Parker MacIntyre
- 10:20am-10:35am** Break
- 10:35am-11:10am** Department of Labor's Rules Impacting RIAs
Patricia Klusmeyer, Associate, Parker MacIntyre
- 11:10am-12:15pm** Conflicts of Interest: How to Comply with Current SEC Advisory Fiduciary Guidelines
Steve Parker, Managing Member, Parker MacIntyre
- 12:15pm-1:00pm** Lunch on Site
- 1:00pm-2:15pm** A Breakdown of Form ADV Part 3 (Client Relationship Summary) and Q&A Discussion
Bryan Gort, Member, Parker MacIntyre
- 2:15pm-2:30pm** Break
- 2:30pm-3:00pm** State Fiduciary Standards Law After the Adoption of Reg BI
Bob Terry, Of Counsel, Parker MacIntyre
- 3:00pm-3:30pm** The Exclusion of Broker-Dealers from "Investment Adviser"
Bob Terry, Of Counsel, Parker MacIntyre
- 3:30pm-4:00pm** How the Client Relationship Summary, as well as Best Interest and Fiduciary Standards Impact Your RIA's Marketing
Bryan Gort, Member & Patricia Klusmeyer, Associate, Parker MacIntyre