

CPE Fields of Study for the 2024 NSP National Conference

Time (EST)	Session Name	Level	Length of Session	CPE	Fields of Study
DAY 1 - MONDAY, OCTOBER 28, 2024					
9:00 - 10:00	Regulatory Keynote: Lara Jones	n/a	n/a	n/a	n/a
	Session 1 -- 10:15 am - 11:15 am -- (60 Minutes)				
10:15 - 11:15	1a. ALL – Avoiding Greenwashing: Compliance Consideration for ESG Investments (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	1b. ALL LAB - Managing Conflicts of Interest and Employee Reporting Obligations (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	1c. BD LAB – Best Practices for Supervision, Testing, and Surveillance (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	1d. BD – FINRA Rule 1017 and Interaction with the FINRA MAP Group (OPEN)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	1e. IA/PF – Regulatory Filings: Requirements, Pitfalls, & Best Practices (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	1f. IA/IC/PF- Cybersecurity Risk Management (Intermediate)	Intermediate	60 min	1.2	Information Technology – Technical
10:15 - 11:15	1g. IA/PF - Annual Review of Policies and Procedures (Basic)	Basic	60 min	1.2	Auditing – Technical
	Session 2 -- 11:30 am - 12:30 pm -- (60 Minutes)				
11:30 - 12:30	2a. ALL - Building your Compliance Team (Intermediate)	Intermediate	60 min	1.2	Personnel/Human Resources – Non-technical
11:30 - 12:30	2b. BD - Cybersecurity Risk Management (Intermediate)	Intermediate	60 min	1.2	Information Technology – Technical
11:30 - 12:30	2c. BD LAB – Preparing for and Managing BD Regulatory Examinations (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	2d. BD/IA - Due Care and Investment Advice: Confluence of Duties of Care? (Advanced)	Advanced	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	2e. IA/IC/PF LAB - Preparing for SEC Regulatory Examinations (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	2f. PF– Performance Presentations in Fund Marketing (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	2g. BD/IA - Dual Registrants Talk Group (Small to Medium Firms)	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
11:30 - 12:30	2h. BD/IA - Dual Registrants Talk Group (Large Firms)	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
	Session 3 -- 1:45 pm - 3:00 pm -- (75 Minutes)				
1:45 - 3:00	3a. ALL – Ethical Practice Programs in Action (Intermediate)	Intermediate (CLE ETHICS)	75 min	1.5	Regulatory Ethics – Technical
1:45 - 3:00	3b. ALL - Supervision & Compliance of Off-Channel Communications (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
1:45 - 3:00	3c. ALL LAB – MNPI: Preventing Illegal “Insider Trading” (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
1:45 - 3:00	3d. ALL – Responding to Regulatory Investigations and Inquiries (Advanced)	Advanced	75 min	1.5	Regulatory Ethics – Technical
1:45 - 3:00	3e. IA - Custody: Traps for the Unwary (Basic)	Basic	75 min	1.5	Regulatory Ethics – Technical
1:45 - 3:00	3f. IA LAB - Compliance Testing and Surveillance for Advisers (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
1:45 - 3:00	3g. ALL - Emerging Leaders Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
1:45 - 3:00	3h. BD - Institutional Brokerage Issues Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
	Session 4 -- 3:15 pm - 4:30 pm -- (75 Minutes)				
3:15 - 4:30	4a. ALL - Best Practices for U.S. Public Pension Plan, Foundation, and Endowment Clients (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:15 - 4:30	4b. ALL LAB - Integrating Compliance During M&A Transition (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical

3:15 - 4:30	4c. BD - Remote Supervision Pilot Program and Residential Supervisory Locations (Intermediate)	Intermediate	75 min	1.5	Auditing – Technical
3:15 - 4:30	4d. BD LAB – Records Management: One Year Later (Advanced)	Advanced	75 min	1.5	Regulatory Ethics – Technical
3:15 - 4:30	4e. IA – The Marketing Rule in Year 2: More Lessons Learned(Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:15 - 4:30	4f. PF - Marketing and Sales of Private Fund Interests (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:15 - 4:30	4g. ALL - Off Channel Communications Talk Group (Small to Medium Firms)	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
3:15 - 4:30	4h. ALL - Off Channel Communications Talk Group (Large Firms)	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
			TOTAL DAY 1:	5.40	
DAY 2 - TUESDAY, OCTOBER 29, 2024					
9:00 - 10:00	General Session / Keynote: Regulatory Enforcement Actions	n/a	n/a	n/a	n/a
	Session 5 -- 10:15 am - 11:15 am -- (60 Minutes)				
10:15 - 11:15	5a. ALL – Artificial intelligence on the Rise (Intermediate)	Intermediate	60 min	1.2	Information Technology - Technical
10:15 - 11:15	5b. ALL – Confronting Ethical Erosion (Intermediate)	Intermediate (CLE ETHICS)	60 min	1.2	Behavioral Ethics – Non-Technical
10:15 - 11:15	5c. ALL LAB - Presenting a Successful Compliance Program for Small to Mid-size Firms (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	5d. BD – Current State of Trading and Trade Reporting (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	5e. BD LAB – Creating Compliant Marketing Materials and Digital Communications (Basic)	Basic	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	5f. IA/PF - Anti-Money Laundering: Understanding Financial Crimes (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	5g. IC – Investment Company Regulation: Current Issues (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
10:15 - 11:15	5h. BD - Remote Auditing and Supervision Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
10:15 - 11:15	5i. IA - Institutional Firms Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
	Session 6 -- 11:30 pm - 12:30 pm -- (60 Minutes)				
11:30 - 12:30	6a. ALL – Risk Identification (Basic)	Basic	60 min	1.2	Management Services - Technical
11:30 - 12:30	6b. ALL - DEI: Advancing the Initiative in 2024 and Beyond (Intermediate)	Intermediate	60 min	1.2	Behavioral Ethics - Non-technical
11:30 - 12:30	6c. ALL LAB - Regulatory Change Management (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	6d. BD/IA LAB - Protecting Senior/Vulnerable Investors (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	6e. BD - Recommending Alternative or Complex Products (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	6f. IA - Recommending Alternative or Complex Products (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	6g. PF - Private Fund Investor Quarterly Reporting Requirements (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:30 - 12:30	6h. ALL - Very Small Firm Issues Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
11:30 - 12:30	6i. Pension Funds & Endowments Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
	Session 7 1:50 pm - 3:05 pm -- (75 Minutes)				
2:10 - 3:25	7a. ALL – Evolving Privacy Regulations (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:10 - 3:25	7b. ALL LAB – Breaking the Stress Cycle to Achieve Balance and Maximum Effectiveness (Basic)	Basic	75 min	1.5	Personnel/Human Resources – Non-technical

2:10 - 3:25	7c. ALL LAB - Follow the Money: Financial Forensics (Intermediate)	Intermediate	75 min	1.5	Finance – Technical
2:10 - 3:25	7d. BD/IA – Effective Supervisory Program for Smaller Firms (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:10 - 3:25	7e. BD/IA - Effective Supervisory Program for Larger Firms (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:10 - 3:25	7f. IA/IC/PF - Global Compliance and Marketing (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:10 - 3:25	7g. PF - Preferential Treatment: Side Letters and Other Issues (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
2:10 - 3:25	7h. ALL - Technology Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
2:10 - 3:25	7i. BD - Retail Brokerage Issues Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
Session 8 -- 3:45 pm - 5:00 pm -- (75 Minutes)					
3:45 - 5:00	8a. ALL – Valuing Hard to Value Securities (Intermediate)	Intermediate	75 min	1.5	Specialized Knowledge – Technical
3:45 - 5:00	8b. ALL – Regulatory Implications for Artificial Intelligence (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:45 - 5:00	8c. ALL LAB - Compliance Escalation and Remediation (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:45 - 5:00	8d. BD - FINRA Regulatory Review (OPEN)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:45 - 5:00	8e. BD/IA - Insurance Compliance: Balancing State and Federal Regulations (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:45 - 5:00	8f. IA – Advisory Fee Billing: Risks and Best Practices (Intermediate)	Intermediate	75 min	1.5	Regulatory Ethics – Technical
3:45 - 5:00	8g. IA LAB - Best Practices for Drafting Codes of Ethics and Conduct (Advanced)	Advanced (CLE ETHICS)	75 min	1.5	Regulatory Ethics – Technical
3:45 - 5:00	8h. IA - Multi Family Office Considerations Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
3:45 - 5:00	8i. PF - Private Fund Manager Talk Group	Talk Group	Talk Groups are not eligible for CE	n/a	N/A
			TOTAL DAY 2:	5.40	
DAY 3 - WEDNESDAY, OCTOBER 30, 2024					
8:30 - 9:30	General Session: SEC Exam Leaders Forum	n/a	n/a	n/a	n/a
Session 9 -- 10:15 am - 11:15 am -- (60 Minutes)					
9:45 - 10:45	9a. ALL - Compliance Considerations for Crypto Assets (Intermediate)	Intermediate	60 min	1.2	Specialized Knowledge – Technical
9:45 - 10:45	9b. BD - Regulation Best Interest: Where We Are Now (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
9:45 - 10:45	9c. BD/IA - Understanding the DOL Retirement Security Rule (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
9:45 - 10:45	9d. IA/IC/PF – Outsourcing to Service Providers (Advanced)	Advanced	60 min	1.2	Regulatory Ethics – Technical
Session10 -- 11:00 am - 12:00 pm -- (60 Minutes)					
11:00 - 12:00	10a. ALL - Examining Ethics: Enforcement Actions and Lessons Learned (Advanced)	Advanced (CLE ETHICS)	60 min	1.2	Regulatory Ethics – Technical
11:00 - 12:00	10b. BD/IA - Identity Theft: Where Reg S-ID meets AML (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
11:00 - 12:00	10c. IA - Marketers and Marketing Agreements (Intermediate)	Intermediate	60 min	1.2	Regulatory Ethics – Technical
			TOTAL DAY 3:	2.40	
12:00	EVENT CONCLUDES				
			TOTAL ALL DAYS:	13.2	