

# COMPLIANCE 2006 Putting the Investor First

The Michigan Office of Financial and Insurance Services, Securities Section, is pleased to present "COMPLIANCE 2006 Putting the Investor First." This one-day seminar is for broker-dealers, investment advisers, attorneys, and compliance firms.

The morning session will include a variety of guest speakers as well as panel discussions on important issues facing the elderly population and the securities industry.

## Topics include:

**Identifying Financial Crimes and Assisting Elderly Victims** – Presented by *David Kessler* of the Ohio Attorney General's Office

**Investment Needs for Baby Boomers and Beyond** – Panel discussion moderated by *Tom Robertson*

The afternoon session will consist of breakout sessions specifically designed for broker-dealers and investment advisers.

## The breakout sessions include:

### For Broker-Dealers:

**Current Regulatory and Enforcement Issues** – Presented by the *NASD*

**Electronic Recordkeeping and Written Supervisory Procedures** – Panel discussion moderated by *Hugh Makens*

### For Investment Advisers:

**Examination Trends and Issues** – Presented by Certified Fraud Examiner *Michael Huggs* of the Mississippi Secretary of State, Business Regulations and Enforcement Division

**Contracts, ADV Part II, Written Supervisory Procedures, FINDER Designation and Ethics** – Panel discussion moderated by *Shane Hansen*

There will be a Question & Answer period at the end of the day. If you would like to ask a specific question of any of our speakers, please e-mail your question, in advance, to [OFIS-SEC-INFO@Michigan.gov](mailto:OFIS-SEC-INFO@Michigan.gov). Please note "Compliance 2006 Question" in the subject line. Questions pertaining to topics discussed throughout the day will be accepted as time permits.

**Tuesday, September 26, 2006  
From 8:00am to 4:45pm**

Registration is \$25 per person and includes continental breakfast, lunch and afternoon refreshments.

Please make checks payable to:  
Lansing Community College

Mail your registration with payment to:  
Compliance 2006  
P.O. Box 30701  
Lansing, MI 48909-8201

For more information, please contact **Brenda Gardner** at (517) 241-6364 or [bggardn@michigan.gov](mailto:bggardn@michigan.gov)

# Registration

Limited to 2 attendees per firm  
(please complete a separate form for each attendee)

Name \_\_\_\_\_

Title \_\_\_\_\_

Firm \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone \_\_\_\_\_

E-Mail \_\_\_\_\_

I would like to attend the afternoon session for:

Broker-Dealers

Investment Advisers



Lansing Community College West Campus

We are only able to register and accommodate  
150 guests for COMPLIANCE 2006.

Take a moment and send your registration  
right away so we can reserve your seat for this  
important seminar.

# COMPLIANCE 2006

## Conference Location

Lansing Community College  
West Campus  
5708 Cornerstone Drive  
Lansing, Michigan

From I-496, take Creyts Road south to West Mt. Hope. Turn east (left) on West Mt. Hope. Drive eastbound for about a half-mile to Sanders Drive (next to the Chapman Insurance Agency). Turn left onto Sanders Drive to Cornerstone Drive. Go to the main entrance and follow the signs to COMPLIANCE 2006.

## Hotel Accomodations

For your convenience, we have negotiated a special guest rate of \$89 at the Sheraton Lansing Hotel for single or double occupancy. Make your reservation by contacting the hotel directly at (517) 323-7100. Identify yourself as a member of COMPLIANCE 2006.

The Sheraton Lansing Hotel is located at 925 South Creyts Road, Lansing, Michigan 48917.

The conference site is handicapped accessible. People with disabilities requiring additional accommodations in order to participate in the conference should contact Brenda Gardner at (517) 241-6364 at least 10 days prior to the event date. Individuals attending the meeting are requested to refrain from using heavily scented personal care products in order to enhance accessibility for everyone.

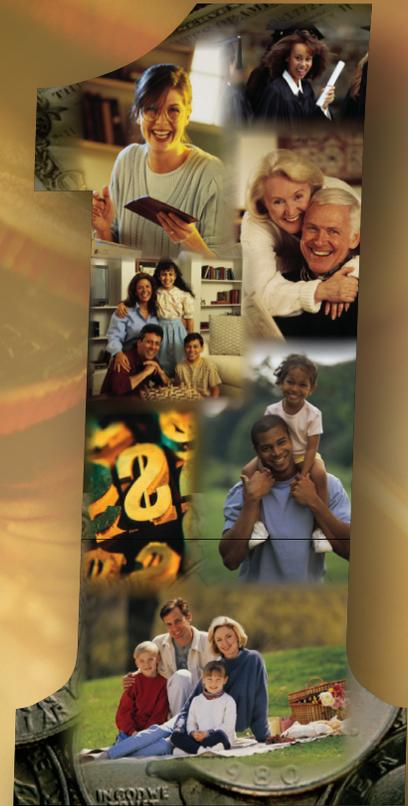


## Michigan Department of Labor & Economic Growth

Visit OFIS online at: [www.michigan.gov/ofis](http://www.michigan.gov/ofis)  
Phone OFIS toll-free at: 1-877-999-6442

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State of Michigan - Official Business  
Office of Financial and Insurance Services  
PO Box 30701  
Lansing, MI 48909-8201

