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 Carolina Department of the Secretary of State *Hon. Elaine F. Marshall, Secretary* Securities Division | |  | | **You can contact us at:**  The Securities Division Department of the Secretary of State PO Box 29622 Raleigh, NC 27626-0622 **(919) 807-2100** | | |  | | --- | | **For overnight mail:**  The Securities Division Department of the Secretary of State 2 South Salisbury St Raleigh, NC 27601-2903 | | | **The Securities Hotline**  (800) 688-4507 | | Kevin M. Harrington | | Director, Securities Division and Deputy Securities Administrator  kharrington@sosnc.gov  Allan C.J. Russ  Senior Enforcement Attorney  aruss@sosnc.gov  Elizabeth Guido, ChFC®, CLU®, CFE  Senior Financial Investigator  eguido@sosnc.gov  John Maron  Director, Investor Education Program  jmaron@sosnc.gov | |  | |  | |