



Greater Cincinnati Mutual Funds Association

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Compliance & Operations Workshop

Tuesday, June 11, 2013

5:30 p.m. – 6:00 p.m. Networking

6:00 p.m. – 7:30 p.m. Workshop

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1900 Scripps Center
312 Walnut Street, 10th Floor
Cincinnati, Ohio 45202

Recapping the ICI & FBA Investment Management and Mutual Fund Conference and the ICI General Membership, Compliance & Operations Conference

The workshop features discussions on topics selected from
Conference Agendas

- SEC Regulatory & Exam Priorities
- Advertising & Marketing Rules for Funds and Advisers
- A Risk Management Approach to Your Compliance Program
- Managing Conflicts of Interest – SEC Expectations
- Lightning Round – 5 minutes each on 5 high profile topics

Program is FREE to GCMFA members

\$100 non-member fee

Deadline for Reservations: June 3, 2013.



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REGISTRATION FORM

Reservation Deadline 6/3/2013

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Scripps Center

312 Walnut Street, 10th Floor Conference Room

Cincinnati, OH 45202

(Parking is available in the Scripps Building; garage entrance is on Third Street before Walnut.)

Company: _____

Name:

Email* Address:

**Confirmation emails will be sent one week prior to event.*

Total Number Attendees _____

To make a reservation:

1. Fax this form to **513-939-2653** or email to info@gcmfa.org

Note: This workshop is FREE for GCMFA member firms.

Questions? Contact Jill Claire at 513-939-2652