



Greater Cincinnati Mutual Funds Association

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***"Staying Informed in an Unsettled Environment"***

**The 2014 GCMFA Compliance & Operations Workshop**

**Wednesday, June 11, 2014**

**5:30 pm – 6:00 pm Networking**

**6:00 pm – 7:30 pm Workshop**

**Scripps Center Conference Room**

312 Walnut Street, 10<sup>th</sup> Floor  
Cincinnati, OH 45202  
(Parking available in Scripps Center garage)

**Recapping the Investment Management Conference and  
ICI Compliance & Operations Conference**

**Topics Include:**

- Cyber Security & SEC Sweep Exams
- SEC Regulatory & Exam Priorities & Techniques
- Intermediary/Distribution Oversight & Communicating with Your Board
- Lightning Round – Four Quick Topics in Ten Minutes

**Guest Panelists:**

- Babu Sonti & Tom Knipper, Ameritas Investment Partners
- JoAnn Strasser, Thompson Hine LLP
- Martin Dean, Huntington

The Seminar is open to all employees in your organization, a benefit of your membership and participation in the Greater Cincinnati Mutual Funds Association.

Please forward this notice to other associates who may benefit from participation (i.e. portfolio management, call center & transfer agent teams, marketing department, etc.)

Attending a GCMFA event provides financial professionals continuing education and the opportunity to interact and network with their peers who face the same daily challenges.

**Program is Free to GCMFA members!**

**\$100 non-member fee.**

**Deadline for Reservations: June 4, 2014**