



Greater Cincinnati Mutual Funds Association

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

### The 2015 GCMFA Compliance & Operations Workshop

Tuesday, June 16, 2015

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 Exam Results and Updated Guidance
- SEC Regulatory & Exam Priorities
- Alternative Investments & SEC Expectations
- Current Issues and Updates in Valuation

##### Guest Panelists:

- Tom Knipper, Ameritas Investment Partners
- JoAnn Strasser & Cassandra Borchers, Thompson Hine LLP
- Martin Dean, Huntington
- Steve Reichert, JP Morgan Asset Management

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 11, 2015**