



Greater Cincinnati Mutual Funds Association

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The 2017 GCMFA Compliance & Operations Workshop

Tuesday, June 6, 2017

3:30 pm – 5:00 pm Workshop

University Club

401 E. 4th St.
Cincinnati, OH 45202

Recapping the Investment Management Conference and ICI Compliance & Operations Conference

Topics Include:

- Update / Implementation Discussion on Liquidity Mgt. Rules for Mutual Funds & ETFs
- Third-party Due Diligence Reviews and Sub-advisory Oversight
- Regulatory Update and Focus. What to Expect in a SEC Examination
- Recent SEC Orders – Valuation & Distribution
- Cybersecurity Update
- Technology Disruptors
- Questions from Attendees

Guest Panelists:

- Thomas Knipper – Vice President & Chief Compliance Officer, Ameritas Investment Partners, Audit Committee Chair, Investment Managers Series Trust II
- Martin Dean- Vice President, Director of Fund Compliance, Ultimus Fund Solutions
- Cassandra Borchers – Partner, Thompson Hine

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: May 30, 2017