



Utah Department of Commerce Division of Securities

Protecting Investors. Regulating Industry. Promoting Commerce.

The Utah Division of Securities presents

Investment Adviser Workshop: Regulatory Changes for Advisers

Monday November 1, 2010 from 3:00 p.m. to 4:30 p.m.
at the Salt Lake City Main Library Auditorium (210 East 400 South)

To RSVP, call (801) 530-6600

AGENDA

Welcome and Introduction

Keith Woodwell, Division Director

Dave Hermansen, Director of Licensing & Compliance

The New Form ADV Part 2

In-Depth Form Topics

Ken Barton

Rewriting in Plain-English

Richard Jaramillo

Creating the Document & Filing Electronically

Brandon Henrie

New Rules for Securities

Chip Lyons

New Custody Rule & Requirements

Sheila Thomas

The IA Switch

Richard Jaramillo