

THE KNOWLEDGE GROUP

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Know. Lead. Succeed

TRENDS, DEVELOPMENTS AND UPDATES IN THE BROKER-DEALER REGULATION: WHAT TO EXPECT IN 2019 AND BEYOND

Friday, February 22, 2019 @ 12:00 pm - 2:00 pm (ET)



Speakers:

[WANT TO BECOME A SPEAKER?](#)



Heather B. Middleton
Partner
Murphy & McGonigle



John Ivan
Managing Director
Capital Forensics, Inc.



Debra A. Jenks
Partner/Shareholder
Jenks & Harvey LLP



Clint A. Corrie
Partner
Lewis Brisbois

Key Topics:

- New FINRA Self-Reporting Initiative 529 Plans
- New and Pending Rule Changes

Registration:

Course Fee: Registration is FREE courtesy of **Murphy & McGonigle**

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- High Risk Brokers and Supervisory Issues
- Senior Investors
- Suitability
- Best Execution and Fixed Income Mark-up
- Regulation Best Interest
- Issues Involving Dual Registrants
- Cybersecurity
- Exam Priorities

**For more information, please visit our website, call [1.800.578.4370](tel:18005784370) or email info@theknowledgegroup.org.

**If CE credit is needed, there is a minimal fee for processing. \$50 for CLE, CPE, SHRM and other CE credit processing in all states except: \$150 for CLE processing in Washington. \$125 for CLE processing in the state of Virginia. \$85.00 in the states of Nevada and Texas. \$75 for CLE processing in Montana and South Carolina, and HRCI credit processing. Late penalty fee for IL not included.

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Please note, complimentary passes are available for the first 30 registrants. Once all of the passes are used, attendees can register for the deeply discounted rate of \$25 each courtesy of **Murphy & McGonigle**.

Discount code **MURPHY147733** applied automatically when you click "Register Now".

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Credit Info:

Course Level: Intermediate

Credits: 2.0

Prerequisite: General knowledge of securities regulation

Course Code: 147733

Method Of Presentation: Group-Internet Based

NY Category of CLE Credit: Areas of Professional Practice

Advance Preparation: Print and review course materials

WHAT KNOWLEDGE GROUP ATTENDEES SAY:

"All of your webcasts are really helpful and provide great insights of the subject matter."

"Very nice job - great rotation with the team to keep engaged."

"Thank you for sharing such a great opportunity to learn things about IP due Diligence."

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