

***THE CONNECTICUT DEPARTMENT OF
BANKING, SECURITIES AND BUSINESS
INVESTMENTS DIVISION, IN COOPERATION
WITH SACRED HEART UNIVERSITY***

PRESENTS

**A FREE
WORKSHOP
FOR
INVESTMENT
ADVISERS**

TOPICS

- ▶ **MEET THE REGULATORS**
- ▶ **IMPACT OF THE DODD-FRANK LEGISLATION ON INVESTMENT ADVISERS**
- ▶ **SWITCHING FROM SEC TO STATE REGISTRATION POST-DODD-FRANK**
- ▶ **CUSTODY AND OTHER RULES AFFECTING INVESTMENT ADVISERS**
- ▶ **WHAT TO EXPECT DURING A BOOKS AND RECORDS EXAMINATION**
- ▶ **OPPORTUNITY TO ASK COMPLIANCE QUESTIONS**

**FRIDAY, DECEMBER 9, 2011
9 A.M. TO 12 P.M.**

**SCHINE AUDITORIUM
SACRED HEART UNIVERSITY
5151 PARK AVENUE, FAIRFIELD, CONNECTICUT**

REGISTRATION INFORMATION

Attendees may register online at <http://www.ct.gov/dob> or at the door.

DIRECTIONS

The Schine Auditorium is located in the Library on the campus of Sacred Heart University, 5151 Park Avenue, Fairfield, Connecticut.

From Merritt Parkway or Wilbur Cross Parkway (Route 15) North or South

Take Exit 47. At the end of the ramp, turn left onto Park Avenue. Proceed 1 ½ blocks to Sacred Heart University. The entrance is on Park Avenue.

From Connecticut Turnpike (I-95) North or South

Take Exit 27A. Go straight on combined Routes 8 and 25 to the fork. Bear left onto Route 25. Take Exit 7, Merritt Parkway South, to Exit 47. At the end of the ramp, turn left onto Park Avenue, and proceed 1 ½ blocks to Sacred Heart University.

From Interstate 91

Take Interstate 91 South to Exit 17 (Parkways South). Follow the signs for the Wilbur Cross Parkway South (Route 15) which becomes the Merritt Parkway. Follow the Merritt Parkway South to Exit 47 (Park Avenue). At the end of the ramp, turn left onto Park Avenue and proceed 1 ½ blocks to Sacred Heart University.

From Interstate 84 West

Take Interstate 84 East to Exit 9. At the end of the ramp, proceed right to the light. Turn left onto Route 25 South and continue approximately 18 miles to Merritt Parkway South. Follow Merritt Parkway South to Exit 47 (Park Avenue). At the end of the ramp, take a left onto Park Avenue. Proceed 1 ½ blocks to Sacred Heart University.

QUESTIONS?

Contact Kathleen Titsworth (kathleen.titsworth@ct.gov) at 860-240-8176 or Cynthia Antanaitis (cynthia.antanaitis@ct.gov) at 860-240-8233.