

NSCP Currents



August 2018



2018 NSCP National Conference

OMNI Atlanta Hotel at CNN Center

October 29 – October 31



The only conference that's “For Compliance, By Compliance”

NSCP Annual Business Meeting will be hosted on October 29, 2018 during the NSCP National Conference luncheon. We welcome all of our members to join us this year as we review NSCP's strategic initiatives and announce the 2018-2019 Board of Directors nominees. *There will be no voting on nominees.*

REGISTER TODAY



FOR COMPLIANCE. BY COMPLIANCE.

In This Issue:

What's New at National in 2018	4
NSCP National 2018 Keynote Addresses	6
The NSCP Conference App – A Smarter Way to Conference	7
Networking: Don't Just Survive, Try to Thrive!	9
Atlanta Visitor's Guide	11
Member Perspectives: First to the National Conference	13
Auto Shows, Open Houses, and the NSCP National Conference	14

What's New at National in 2018?

As the only conference designed by your industry peers, the NSCP National Conference strives to offer the training experiences sought after by all compliance professionals. The 2018 program is no different, and using the feedback from prior attendees, we've introduced a variety of new elements into this year's event. So, what's new?

The Venue!

Hello, Atlanta! It's a bit non-traditional for the National Conference, but our 2018 host city has relocated to Atlanta, Georgia. Here at NSCP, we're excited to be able to explore a new city to celebrate our 30th Conference Anniversary. Atlanta is a vibrant city, and we're seated in the heart of the action. Just steps away from Georgia Aquarium, Centennial Olympic Park, World of Coca-Cola and the College Football Hall of Fame we're confident that following days full of riveting content and networking opportunities, you'll find your way out to explore what Atlanta has in store.



Technology Tuesday

Our lives center around it and its applications permeate throughout our business operations. Tuesday at the National Conference will look at technology from a governance, practical application, and an emerging developments perspective to ensure our audience is comfortable with why, how and what to expect.

Session Formats

Too often we hear general industry feedback about conferences that the event was great but...

- It was just another overview of what the rule says
- I spent all this time there and don't know how to apply anything when I get home
- I didn't get a chance to talk to *my peers* about issues sessions can't cover...

We get it, we hear you, and we're introducing ways to help address all the above referenced concerns. At the National Conference, attendees not only benefit from the diversity of session options, but also the way sessions are conducted.

In 2018, attendees will see the following Session Formats embedded within our agenda:

- **Panels** – Yes, ol’ faithful.

Panels are traditional in that they serve as host to our largest attendee audiences (up to 250 participants). Panelists assemble to impart their knowledge and experience collaboratively and may offer a question and answer segment.

When SEC Commissioner Hester Peirce comes to join us, we expect that you’ll want to hear what she has to say. A panel is our opportunity to maximize her reach, and we can’t wait for you to join us for her luncheon keynote this year.



- **Labs** – Learn it, use it, here.
Driving home the practical applications doesn’t have to wait until you get home. In NSCP Lab sessions, attendees participate in structured hands-on learning sessions designed to focus on real-world use cases. Because engagement is key in these environments, lab session participation is limited to 55 attendees.

Identifying risks and documenting them – How do you know what you don’t know? So many ask this question, year after year, and it’s difficult to get your answers sitting in an audience. Consider rolling up your sleeves and joining us for our lab so you can consider your firm, your processes, and identify possible areas of risk you hadn’t looked at that way prior...

- **Forums** – Comfortable settings fostering attendee participation.

For many, asking a question in front of an audience of 250 is daunting. When we hear that, we see a missed opportunity. Forums are our solution. Led by facilitators, forums are designed to get the conversation going on a specific interest area, but tap on participants to engage in group discussion and idea sharing. Like labs, session sizes are smaller, not to exceed 45.

Hello data! Cambridge Analytica & Facebook have offered us several valuable lessons regarding data mining, privacy, psychological profiling and more. How comfortable are you with the ways data is being used in the financial services industry? Participating in a forum offers a secure place for you to gain insights and ask the questions needed to inform how you prepare for the challenges ahead.

- **Talk Groups** – This one’s all about you. Our newest discussion group format where participants have the stage. We offer you a means to gather with like-minded peers from similar firms to spend your time talking about the stuff that matters to you. We can’t get more practical than this, and to make it impactful, only 30 participants can enter these sessions at a time.

Due Diligence of Vendors, Trading – Firm Issues, and Small Firm Challenges, sometimes a session isn’t

going to quite “hit-the-nail-on-the-head”

and the scenario you’re questioning is left unaddressed... Consider getting in early, and registering to participate in one of our Talk Groups. These spaces are reserved just for you, offering the break in the schedule you need to talk about the potentially unaddressed matters that only your peers can help you tackle.



As you can tell, whether you’re new to the role or a seasoned industry veteran, the NSCP National Conference provides an invaluable professional development opportunity for the whole team. We can’t wait to see to you there!

NSCP National 2018 Keynote Addresses

What is the goal of a keynote address? Well, we believe a strong keynote address should unite, inspire and capture the essence of what the NSCP National Conference is all about. This year, at the NSCP National Conference, we've invited three dynamic professionals, from all walks of life, to do just that.

This is National Society of Compliance Professionals, and this is what "For Compliance, By Compliance" looks like.

We are **Ethical**.

Have you ever known someone who was so driven to succeed that they would do so by any means necessary? As Compliance Professionals, many would describe themselves as skeptics by nature. What happens when someone's drive to succeed outweighs their desire to ask one more question?



Join us for our opening keynote address featuring Rashmi Airan, a first-generation immigrant of Indian parents and the oldest of three daughters, who was raised with high expectations to achieve. Having both professional and personal pressures, Rashmi aspired to become a successful lawyer graduating with honors from Columbia University. During the housing boom, she was recruited to work with a local real-estate developer who later engaged in questionable business practices. Rashmi's drive to succeed financially and to give her children the best life possible created an ethical blind spot for her.

We are **Forward Thinkers**.

In 1998, who would have thought that compliance professionals would need to become pseudo experts on cybersecurity matters? Point being, compliance professionals must be forward thinkers, willing and able to identify, prepare for and respond to emerging trends in all areas of the business. The Jetsons predicted flying cars by 2062 – how are we pacing?



Award-winning financial advisor Ric Edelman, joins us to reveal how exponential technologies will alter virtually every aspect of your life — with profound implications for your personal finances.

We are **Professionals**.

"The most basic of all human needs is the need to understand and be understood. The best way to understand people is to listen to them." — Ralph Nichols



Opening and fostering a communication channel between Compliance Professionals and their prevailing regulatory authorities is one of NSCP's core values.

Following NSCP's May 2018 regulatory meeting with SEC Commissioner Hester Peirce, we're delighted to have her join us on October 30th as our Luncheon Keynote to address our audience with her views on the importance of the SEC's inspections and examination program, the role that compliance officers play in ensuring that our capital markets work efficiently, and the ways in which the SEC can help compliance officers be more effective.

The NSCP Conference App – A Smarter Way to Conference

Take a look at your phone. What has it become? An “app collage” containing:



- Your newspaper, favorite magazine or book?
- The equivalent of 14 photo albums and 7 VHS (or 3 DVDs) of precious memories?
- Your favorite way to “pick up something quick” after work with online shopping?

App's are redefining convenience, and the NSCP Conference App is no different. From pre-conference to post, networking to due diligence, continuing education to simple organization – the NSCP Conference App has everything you need to keep you on point, productive and building those connections.

So, what's your conference style?

“Flies by the seat of one's pants”

If you tend to go with the flow, and just know things will work out, the NSCP Conference App remains essential as your pocket guide to answer every after-thought question, you didn't know you would have including:



Venue

Q: What hotel is this at?
Q: What session is next?
Q: How do I get CE Credit?



Schedule

A: Check out “*Venue*”
A: Check out “*Schedule*”
A: Check out “*Continuing Education*”



Continuing Education

“Prints, files and shares complete itinerary with every immediate family member, and first cousin ‘just-in-case’”

If you tend to be a bit of a planner, you may have a list of your own personal goals and objectives for this event. From not missing key sessions, to meeting up with key service providers and old friends, the Conference App's “My Profile” and “My Event” functionality will speak to you!

“My Profile”



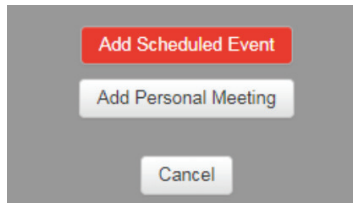
My Profile

Set-up and control who sees what about you. Make sure you're discoverable – you never know who else is planning their event and may want to connect in Atlanta.

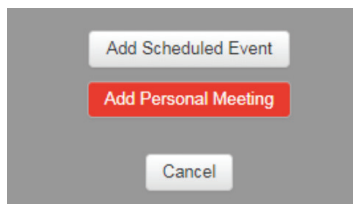
“My Event”



My Schedule –

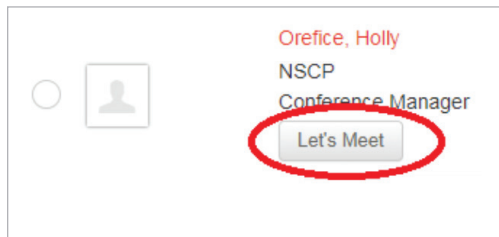


You registered for specific sessions, and we're going to add them here. You can easily view and edit them so that you never miss a beat.



Planning on doing some vendor due diligence or making sure to grab a seat with an old friend during lunch? Add your own personal meetings, too.

My Contacts –



Break the ice before it's even frozen.

One of the most valuable aspects of the NSCP National Conference is the networking opportunities. That said, one of the most difficult things to do is approach someone you don't know and start a conversation... Why do that to yourself when you can take a look at who is attending, and initiate contact before the show – start the conversation before you go.

Bottom line, there are plenty of reasons to work harder, but when it comes to the getting the most out of attending the NSCP National Conference – using the Conference App is just smarter.

Networking: Don't Just Survive, Try to Thrive!

By Danielle Torres



If you are like many Compliance Officers (especially the introverts), the experience of networking in a room with hundreds of people can be intimidating. However, at the NSCP National Conference, networking can be one of the best ways to get the most out of the conference. I attended my first NSCP National Conference two years ago and the connections I made were hands down the most rewarding part of the event. I was alone at that first conference and very nervous about attending events by myself. I made the decision to venture out and I am so glad that I did. What I found was a group of kind, welcoming, like-minded people who had so much to offer. I am a better Compliance Officer today because of those connections I made in that very first year. In thinking

about that first experience, I have compiled a list of some tips for thriving and not just surviving when it comes to networking. I hope that these will give you the courage you need to go out and make those connections.

1. **Remember that you are not alone** – Understand that many people in the room feel intimidated about the networking experience. If you came to the conference by yourself, look around the room, you are likely to find someone else who did as well. Introduce yourself to that person. You already have one thing in common. Once you meet one person it is much easier to venture out to meet others.
2. **Do some networking in advance of the conference** – Use the conference app to view who is attending the conference and message some of the contacts that you think may be good connections to have.
3. **Commit to making at least five new connections each day** – If you stick to a goal, you are more likely to thrive. Just like with anything, the more effort you put into something, the more you will get out of it.
4. **Ask others what they are doing for dinner** – Everyone needs to eat right? Finding your way around a town and having dinner with others is much more fun than going alone.
5. **If you get a dinner invitation from a vendor, take it** – This is a great way to make connections with others because they will likely invite other compliance professionals.
6. **Attend the networking events** – This one might seem like a no-brainer in an article about networking, however it is easy to decide to go back to your room and order room service instead, especially if you came alone. Resist the urge. If you are new to the compliance industry, make sure to attend the networking event for newcomers, you will be glad you did. I guarantee it!* As a Compliance Officer, that was not easy for me to say (there is certainly a disclosure at the bottom of this article).
7. **Don't be a wallflower** – Go to the center of the action. If you are standing around the edges of the room by yourself you might not meet as many people as if you get involved. The food tables, dessert tables and the bar are great places to strike up a conversation. You are usually in a line and standing there for a while so you might as well be making connections.
8. **Consider your ice breaker** – Think about what you might want to say to get others talking. Most people love to talk about themselves. One way to begin a conversation is simply by looking at their name tag and saying something like, "so what do you do at _____?"



About the Author

Danielle Torres is CCO, [Paradigm Equities, Inc.](#) She can be reached at dtorres@mea.org.

9. **Share with others** – Share your experiences, your successes and challenges. If you share, your colleagues are likely to as well. This is a great place to get new ideas for how to make things better and ideas on what not to do too.
10. **Treat others like you want to be treated** – What is sometimes called the golden rule is golden for a reason. Be polite and friendly.
11. **Assume that everyone has something to offer** – because they do! Each NSCP member has their own experiences and so much to offer one another. Even if the person you are speaking with performs in a totally different area of compliance or is from a large firm and you are from a small firm, there are still many common areas in our profession. In addition, someone once told me to think of each connection you make like planting a seed, you never know how big that seed might grow. In other words, you never know when you might meet someone who might just connect you to one of the most valuable connections you've ever made.
12. **Take notes** – When someone gives you their business card, date it, and make notes on the back about what you discussed to help remind you of your connection to that person. If you didn't get a business card, make notes in the conference app.
13. **Follow-up** – After the conference, make a point to follow-up with the people you have met and tell them how happy you were to meet them. Include details about your connection to them. If someone took you out to dinner, follow-up with a thank you card.
14. **Be Yourself** – Don't try to be someone you are not. Others recognize an act when they see it, especially a group of Compliance Professionals. Most of us are quite suspicious by nature and astute judges of character, so just be you!



Hopefully this list of tips for networking will help you venture out at this year's convention. If you don't know anyone in the room and are feeling a little nervous, come and find me, I will be happy to talk to you. Good luck and see you in Atlanta.

**Disclosure: Guarantees are never truly guaranteed, but there is a good chance that if you are a newcomer and you attend the networking event for newcomers you will be glad you did. Hey, if you get a free drink you can at least be happy about that, right?*

Atlanta Visitor's Guide

Welcome to Atlanta, the ATL, Hot-Lanta, the home of southern hospitality. We can't think of a better place to host NSCP's 30th National Conference. Because Atlanta represents unfamiliar territory for many of our loyal conference attendees, we thought best to prepare an insider's guide to the city where nearly every set of directions will include "...and go down Peachtree."



Fun Fact: There are more than 70 roads in Atlanta with the name Peachtree. Did you know that this reference has nothing to do with delightful Georgia peaches? Peachtree bears historical significance stemming back to The Native Creek tribe whose village, Standing Peachtree (thought to be Pitch Tree) was located where Atlanta exists today.

Area Attractions.

The OMNI Atlanta at CNN Center is located in the heart of downtown Atlanta's Convention & Entertainment District, placing our guests within walking distance of fantastic area attractions including:

- [Inside CNN Studio Tour](#)
- [College Football Hall of Fame](#)
- [World of Coca Cola](#)
- [Georgia Aquarium](#) and much more

History buff? Atlanta has you covered. Rich in American history, Atlanta offers a variety of nearby museums and landmarks including:

- [The Center for Civil & Human Rights](#)
- [Fox Theatre, a National Historical Landmark](#)
- [Martin Luther King Jr. National Historical Park](#)
- [Jimmy Carter Presidential Library and Museum](#)



For Foodies.

When you've closed your conference day with drinks and light fare at our networking receptions, we hope you find at least one new friend, and one old, to go out on the town with to enjoy both great company and the great eats Atlanta's Convention & Entertainment District has to offer.

"You learn a lot about someone when you share a meal together." – Anthony Bourdain

For Foodies who travel on foot:



- Restaurant Row:
 - [STATS Food + Drinks](#): Atlanta's Ultimate Sports Bar
 - [Twin Smokers BBQ](#): Eat BBQ. Drink Bourbon
 - [Max's Coal Oven Pizzeria](#): Coal Blooded
 - [Der Biergarten](#): Atlanta's German Beer Garden
- [Ruth Chris Steak House](#)
- [Glenn's Kitchen](#)
- [Thrive](#)
- [Legal Seafoods](#)

Hot-Lanta Favorites Worth the UBER:

- [Staplehouse](#): Critically acclaimed tasting menu
- [Holeman & Finch Burger](#): Don't miss their October Burger & Shake of the Month
- [J.R. Crickets](#): Chicken is Chicken... But the Wing is the Thing!
- [Miller Union](#): Award winning Organic Southern farmstead-inspired menu
- [BoccaLupo](#): The Italian American Neighborhood Destination
- [Up on the Roof Tops!](#): Atlanta's food scene takes to the skyline with these options

Parks n Rec'

Are you an early riser trying to clock in a few miles before the morning keynote? You'll find so much to explore just across the street in [Atlanta's Centennial Olympic Park](#). Be sure to stop in to check out the Fountain of Rings, one of Atlanta's most photographed landmarks. The Fountain of Rings show, plays four times daily so consider checking out the [online schedule](#) to make sure you don't miss out!

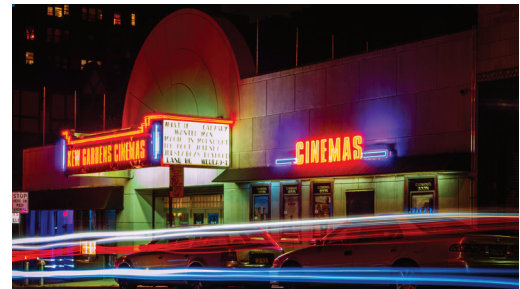


Are you ready for some football? The Atlanta Falcons will have a bye week October 28th but [Mercedes Benz Stadium](#) is just across the street for tours. Atlanta loves sports, and serving as home to the MLB Atlanta Braves, NBA Atlanta Hawks, WNBA Atlanta Dream, MLS Atlanta United and the College Football Hall of Fame – if you love sports, Atlanta has something for you.

Don't believe us that Atlanta's Downtown district is buzzing? See it for yourself. Don't miss your chance to take in the city from [SkyView Atlanta](#), the nearly 20 story ferris wheel above Centennial Olympic Park!

Lights, Camera, Action! Fun Fact: Atlanta's Film & Television Production industry is booming, and Atlanta has been coined the "Hollywood of the South." Fan of any of these blockbusters?

- | | |
|----------------------------------|-------------------------------|
| • Walking Dead – TV Series | • Hunger Games – Movie |
| • Avengers: Infinity War – Movie | • Black Panther – Movie |
| • The Quad – TV Series | • Atlanta – TV Series |
| • Anchorman 2 – Movie | • The Internship – Movie |
| • Identity Theft – Movie | • Let It Shine – Disney Movie |



That's right, they're all products of the wonderful city of Atlanta!

Don't forget your playlist.

Come join us this October as we host the National Conference down south. Let's all appreciate why so many have a soft spot for Georgia – grab your favorite Georgia themed track and meet us there in October!



-
- ▶ Reba McEntire's – [When the Lights Went Out in Georgia](#)

 - ▶ Ray Charles' – [Georgia On My Mind](#)

 - ▶ Gladys Knight & The Pips – [Midnight Train to Georgia](#)

 - ▶ John Mayer's – [Neon](#) & [Why Georgia](#)

 - ▶ B-52's – [Love Shack](#)

 - ▶ Jermaine Dupri & Ludacris' – [Welcome to Atlanta](#)

 - ▶ Charlie Daniels Band's – [Devil Went Down to Georgia](#)

 - ▶ Florida Georgia Line's – [Cruise](#)

Member Perspectives: First to the National Conference

NSCP Executive Director, Lisa Crossley, recently interviewed Krista Fuller, General Counsel with RiverRock Funds, LLC, to gain some insight on what it takes to be the very first registrant to the 2018 NSCP National Conference.



Krista, thanks for taking the time to talk with us. You were the very first registrant to the NSCP National Conference this year, confirming nearly moments after registration opened. What kind of preparation goes into planning for these decisions?

There's no preparation beyond ensuring I am available on the dates. This conference is something I go to every year. Once I see that registration is open, I want to be sure to register soon so that I can be in the first wave of discounts and see what this year's conference has to offer.

Well we're happy to see that this year's timing worked with your schedule! NSCP is appreciative of your long-time loyalty as an attendee of the NSCP National Conference. Why this event?

This conference has so much to offer and many people I know attend, so it is not only a learning experience, but a chance to see old friends and make new ones. This is the only conference I have found thus far that offers discussions and learning for broker-dealers, private funds and investment advisers. I work for companies that are all of these and the NSCP National Conference offers a one-stop-shop of sorts.

When you select your sessions, tell us, what's your strategy?

Honestly, my strategy is to pick which session I prefer to go to in each part. I look for sessions that will give me a mix of expanding my knowledge of relevant topics, providing updates on regulatory issues and law, as well as relevant cases, findings and opinions, and learning what's new and upcoming in each business I work in (BD, RIA and PE).

We're so happy to hear it! More about that, your firm's focus is incredibly diverse. What is your favorite aspect of our Conference format?

I enjoy the variety of session topics, the quality of speakers, the mass of vendors where we can see products old and new, and networking opportunities with the variety of persons that attend, including SEC and FINRA staff. It gives me a good excuse to take a mini-vacation from work!

"Working vacations", we like that. What do you think about NSCP trying out Atlanta as our vacation destination this year?

I think it will be an interesting experience. I enjoyed DC because it gave me a reason to go sightseeing in a city I have only been to for the NSCP conference and it was a quick jaunt to NYC or other East Coast cities to visit their sites. I am hoping the Atlanta site will have better elevators! That will make it all worth it!

I think you'll be pleased with the elevators at this site! Maximizing time out of the office is always a priority. Given your experience as a veteran conference participant, what advice would you offer to someone attending the NSCP National Conference for the first time?

Take it all in, but do not overwhelm yourself. The NSCP conference has so many things to do that it may take a few conferences to get the hang of it. Check out the vendors, talk to the speakers, enjoy the open sessions with lunch and breakfast and meet new people. Do not be afraid to ask questions because that is what this conference is for – to learn, to educate, to socialize and to make a better financial services community. Enjoy yourself and do not feel as if you have to hit up everything the conference has to offer on the first go around.

That's great! Words of wisdom anyone can benefit from. One final question, Rolling Stones or Beatles?

Neither! I'm from Texas and country all the way! But, if you force me to choose with just those, I would have to say Rolling Stones.

Krista, thanks for taking the time to share your thoughts to the greater membership. We can't wait to see you at the National Conference.

About the Author

Krista Fuller is General Counsel with [RiverRock Funds, LLC](http://RiverRockFunds.com). She can be reached at kfuller@riverrockfunds.com

Auto Shows, Open Houses, and the NSCP National Conference

By Louis Dempsey



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Manage Through Change

I always enjoy an auto show. It provides a means to see all the newest models and technology in one place, ask sales representatives questions about the cars, learn about other consumer experiences, and reconnect with some old classics - cars, that is. Similarly, an open house not only provides the ability to get inside the property and imagine how it fits your lifestyle, it provides an opportunity to meet other people searching in the area, meet the local realtors who are the “experts” in the area, and learn about the neighborhood. There are many benefits to auto shows and open houses, but what, you may ask, does that have to do with the *NSCP National Conference*?

Like the auto show, the *National Conference* provides compliance professionals an opportunity to meet with vendors, discuss their products, and kick the tires so to speak. This conference brings together the best in breed of all the services including surveillance tools, data management systems and document storage providers, as well as, consultants, attorneys, accountants and an occasional regulator – but we will save that discussion for another article. Many of the vendors not only send their sales teams, but frequently their senior management will also attend. This highlights the significance of the event to service providers and provides compliance professionals a chance to gauge the overall culture of the service provider before signing the contract.

The *National Conference*, as with the open house, provides compliance professionals with access to a wide range of in-house compliance, operations, and legal professionals who live and work in the compliance neighborhood every day. These are the experts in our field. It’s a venue where an owner operator/CCO of small broker-dealer or investment adviser can share ideas with compliance professionals from the largest multinational firms. It also enables compliance professionals, from a wide range of business models that provide a broad array of products and services, to share compliance ideas and experiences with each other in an open forum.

As a service provider, we are proud to support the *NSCP* at the *National Conference* and grateful for the opportunity. Compliance – or the lack thereof - should not be a competitive advantage. This event brings together compliance professionals from a broad range of firms across the industry to share ideas and experiences that you can take back to utilize in your firm. The *National Conference*, as with many of *NSCP*’s initiatives, provides a means for firms of all sizes and business models to level the field from a compliance standpoint. This is in the industry’s best interest as it promotes a positive image among regulators and the investing public, and the *National Conference* provides this opportunity.

When you join us in Atlanta this year, set a goal on what you want to learn, who you want to meet, and what tools you want to take back to enhance your compliance program. In addition to attending the outstanding educational sessions, take time to mingle at the breaks and expand your network. Engage with the service providers to learn about all the compliance tools and resources that are made available through the *National Conference*. As for me, I’m looking forward to learning about the new technologies and of course reconnecting with the “*Old Classics*.”

About the Author

Louis Dempsey is Founder and President of [Renaissance Regulatory Services, Inc.](http://RenaissanceRegulatoryServices.com) He can be reached at louisdempsey@rrscompliance.com or at Booth #1 during the *NSCP National Conference*.

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