

Quarterly Compliance Teleconference for Financial Services (BDs/IAs)

Tuesday, December 9, 2008

3:15 PM CST

Program Agenda

“Year-End: Are You Ready?”

- ◆ **Regulatory Update**
 - FINRA Rulebook Update
- ◆ **Product Updates**
 - Auction Rate Securities
 - New Product Checklist
 - Retail Foreign Currency Exchange Activities
- ◆ **Investment Advisor Update**
 - Anti-Money Laundering
 - Valuation
 - SEC Exam Focus
- ◆ **Financial Update**
 - New Capital
 - PCOAB
- ◆ **BD Year-End Requirements**
- ◆ **IA Year-End Requirements**

Open Questions & Answers (10-minutes)

Please email dpatten@mglconsulting.com for any real-time questions during the teleconference.