2009 SPRING SYMPOSIUM
REGISTRATION

March 17 - 18, 2009
Sheraton Delfina
Santa Monica, CA

Registration Fees
Early Registration, prior to Jan. 1
__ **$250** for First Attendee from NAIBD Member Company __ **$100** per Additional Attendee from Member Company __ **$450** per Non-member
General Registration, after Jan. 1
__ **$325** for First Attendee from NAIBD Member Company __ **$125** per Additional Attendee from Member Company __ **$500** per Non-member
Late Registration, after March 2
__ **$400** for First Attendee from NAIBD Member Company __ **$150** per Additional Attendee from Member Company __ **$600** per Non-member

Ask about group discounts for four or more registrations.

Please pay online at: www.naibd.com/payonline.htm or send a check to:
191 Clarksville Road
Princeton Junction, NJ 08550

Total # of Registrants:______________ Total Payment:________________

☐ **Paying online** ☐ **Will pay by check**

Company and Contact Information:

Company Name:____

Telephone Number: ____________________ **Fax Number:** ________________________

Attendee Name: ________________________ **E-Mail:**__________________________
Title: ____

Attendee Name: ________________________ **E-Mail:** __________________________
Title: ____

Attendee Name: ________________________ **E-Mail:** __________________________
Title: ____

Attendee Name: ________________________ **E-Mail:** __________________________
Title: ____

For more attendees, please copy this form. Please visit us on our website at www.naibd.org for detailed information.
Please fax the completed form to 609-799-7032 or e-mail to naibd@naibd.org

AGENDA

Tuesday, March 17		
5:00 - 7:00 PM	NAIBD Registration	
4:00 - 6:00 PM	Exhibitor Set-up	
6:00 - 8:00 PM	Exhibitor Cocktail Reception	
Wednesday, March 18		
7:30 - 8:30 AM	Sunrise Breakfast with Exhibitors Symposium Registration	
8:30 - 8:45 AM	Opening Remarks	
8:45 - 9:30 AM	**General Session- Keynote** Regulatory & Market Updates: What to Expect Next	
9:30 - 10:00 AM	***Refreshment Break with Exhibitors***	
10:00 - 10:45 AM	**CEO Insights** Top Ten Best & Worst Decisions What Works / What Doesn't ***Moderated by Tim Morton, Westland Financial Services/WBB Securities***	**Operations & Compliance** What's Hot Regulations S/P, AML, Outside Business Activities ***Moderated by Rob Hackel, R.F. Lafferty***
10:45 - 11:15 AM	***Refreshment Break with Exhibitors***	
11:15 AM - 12:00 PM	**Investment Advisory** What are successful RIA's doing to grow their business? Why the experts believe the hybrid B/D & RIA model is the future. ***Moderated by Brian Kovack, Kovack Securities***	**Operations & Compliance** Case Study: How to Implement STP to Improve Business: Processing and reducing compliance headaches ***Moderated by Steve Distante, Vanderbilt Securities***
12:00 - 1:30 PM	***Buffet Lunch with Exhibitors (also Hotel Checkout)***	
1:30 - 2:30 PM	**General Session** A Snapshot of Five Years in the Future Clearing houses share their thoughts on what the future holds ***Moderated by LaRae Bakerink, WBB Securities***	
2:30 - 3:00 PM	***Refreshment Break with Exhibitors***	
3:00 - 3:45 PM	**General Session** U.S. Economic and Political Environment- Impacting your Business. ***Moderated by Lisa Roth, Keystone Capital Corp.***	
4:00 - 4:45 PM	**General Session** Guidelines for Revenues & Expenses What should your Firm be earning? How do you value what your Firm is worth?	
4:45 - 5:00 PM	**Closing Remarks**	
5:00 - 6:30 PM	**Reception with Exhibitors**	

Session Highlights

Keynote: Regulatory & Market Update
8:45 - 9:30 AM
How are the never-before-seen recent industry developments going to impact your firm? The Keynote Speaker will share their unique insight on what regulators are currently focusing on in light of the dynamic market conditions. What are the new areas of concern for managing risk? How will the new President and Congress impact the market and where might new opportunities exist?

Top 10 Best & Worst Decisions
10:00 - 10:45 AM
Growing and managing an independent broker/dealer requires education, experience and a little bit of luck. What were the best and worst decisions that this Panel of top industry executives made? Listen in while this seasoned panel of industry pros discuss the good, the bad and the ugly.

What's Hot- Regulation S/P, AML, Outside Business Activities and More
10:00 - 10:45 AM
What are regulators focusing on during exams and sweeps? What ***aren't*** you doing to protect your firm? This session will discuss where the regulators are focusing their attention and how to keep your firm out of trouble.

What are Successful RIA's Doing to Grow Their Business? Why the Experts believe the RIA & B/D Models are the Future.
11:15 AM - 12:00 PM
This panel will discuss why independent broker/dealers of all sizes are shifting their focus towards the joint B/D and RIA platforms and why it makes sense for you. Having an affiliated RIA is not enough- how do you grow it? Listen as the panel discusses how firms have found new business opportunities through recruiting wirehouse reps seeking to go independent.

Case Study- How to Implement STP to Improve Your Business Processing and Reduce Compliance Headaches
11:15 AM - 12:00 PM
Are you still using paper to open new accounts? How about Excel spreadsheets to track commissions or perform trade review? This session will discuss in detail how several firms made the transition from "old school" business-as-usual to Straight Through Processing (STP) and how it impacted their business. Listen in on how these panelists developed STP for their non-brokerage and brokerage business. .

A Snapshot of 5 Years in the Future
1:30 - 2:30 PM
How are the dramatic changes in regulation and the economy going to affect the small and mid size B/D's? Will your firm survive 5 years from now? Acquisitions of other firms, adding wirehouse reps, or just selling the company and getting out—this "no holds barred" candid discussion will help you guide the future of your firm. This panel will share their views on the shifting financial landscape and the future of small and mid-size independent broker/dealers.

U.S. Economic and Political Environment: Impacting Your Business
3:00 - 3:45 PM
This General Session will focus on the present economic conditions and how the massive proposed legislative changes will shape the future of the global and U.S. economy.

Guidelines for Revenues and Expenses:
What Should Your Firm be Earning? How do you value what your Firm is worth?
4:00 - 4:45 PM
How does your small to mid-size firm compare with others within the industry? Is your firm earning more or less on Net Income? How about your home office staff- what types of salary ranges are your competitors paying? This session is one that everyone will want to attend discussing firm profitability, officer and employee pay ranges, clearing firm agreements, and more.