



Glen B. Gainer III
State Auditor

Compliance Workshop

Days Hotel and Conference Center
2000 Sutton Lane, Flatwoods, West Virginia
April 28, 2014

On **April 28, 2014**, the West Virginia Securities Commission is hosting a **Compliance Workshop** for all West Virginia Investment Adviser Firms and insurance agents who offer variable products, advice or financial services in West Virginia or to West Virginia citizens.

The Workshop will give an overview of the Securities Division and address best practices for record keeping, financials, and advertising. Senator Daniel Foster will address Elder Investment Fraud issues and a panel discussion with members of the West Virginia Insurance Commission will focus on variable annuities.

Date: April 28, 2014 - **Pre-Registration** is required prior to the deadline.

Registration: 8:30 a.m. (*Sign the register and pick up workshop materials*)
The workshop will begin promptly at 9:00 a.m. and conclude at 2:30 p.m.

Location: **Conference Rooms D-E**
Lunch is provided.

Hotel Accommodations: You are responsible for making your own overnight accommodations. Contact **Days Hotel** toll free at **866-700-7284**, press "0" for the reservation desk. When making a reservation, mention the "*State Auditor's Office*" in order to receive the discounted room rate of **\$89.00**.
Deadline to reserve a room: APRIL 18, 2014

If you have any questions, contact: Lea Ann Green at 304-558-2251, ext. 2299, toll free 877-982-9148, or email leaann.green@wvsao.gov.

To register, return this form via FAX or mail no later than **APRIL 18, 2014**. *We must receive your registration **before** the deadline in order to allow for sufficient meeting space.* We look forward to seeing you there!

COMPLIANCE WORKSHOP

Name: _____ Firm: _____

Full Mailing Address: _____

Telephone: _____ Fax: _____ Email: _____@_____

If you register and cannot attend, the courtesy of a cancellation notification would be appreciated.

Mail to: Nancy Pennington, Event Coordinator
WV State Auditor's Office
Investment Adviser/Compliance Workshop
Building 1, Room W-100
Charleston, West Virginia 25305

DEADLINE: APRIL 18, 2014

FAX TO: 304-340-5080