



2019 Financial Services Recruitment Litigation Conference

Event

The Rittenhouse Hotel
210 W Rittenhouse Square
Philadelphia, PA 19103

10.10.19 - 10.11.19

Join hosts Chris Stief, Mike Greco and David Erb as we host the 13th Fisher Phillips Financial Services Recruitment Litigation Conference in Philadelphia.

The Conference will address the unique aspects of recruitment litigation among registered investment advisors (RIAs), broker-dealers, private banks and wealth management organizations, such as:

- The impact of FINRA rules on RIAs recruiting registered reps from broker-dealers
- Newly announced FINRA Regulatory Notice 19-10
- Data privacy concerns in broker-dealer and RIA advisor transitions
- RIAs in FINRA Arbitration – When, How and Why
- Fiduciary Duties in Transitions – Loyalty, Best Interest Rule, CFPs, 401(k) Plan Advisors

This must-attend event brings together key industry professionals from across the United States for a confidential and interactive discussion about the latest trends and strategies for the private wealth management sector in managing the legal challenges in recruiting and retaining top level talent. The Fisher Phillips Financial Services Recruitment Litigation Conference has an established reputation for providing valuable insight on national legal trends related to non-competes and other restrictive covenants, and practical information on strategies you can use to grow your business, while also delivering high level networking opportunities for legal, compliance and recruiting professionals.

Thursday, October 10, 2019 – 5:30 p.m. – Opening Cocktail Reception

Friday, October 11, 2019 – 8:30 a.m. – 3:00 p.m. – Program

RSVP: Seating is limited. Please email or call Clare Block, cblock@fisherphillips.com 610-230-2160 to confirm your attendance.

Hotel Reservations:

Fisher Phillips has reserved a discounted room block at The Rittenhouse Hotel. Hotel reservations may be made directly with the hotel by [clicking this link](#) or calling (215) 546-9000.

2019 Conference Co-sponsors:



Capital Forensics, Inc.

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