

CAPITAL INVESTMENT COMPANIES
22ND ANNUAL SALES/COMPLIANCE CONFERENCE
JUNE 10-13, 2015
MYRTLE BEACH, SC

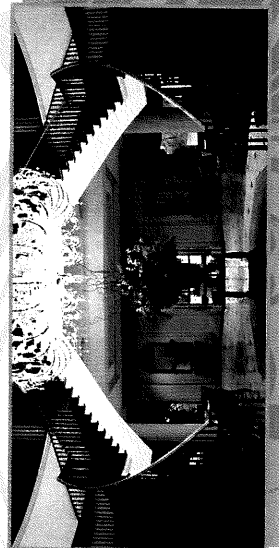
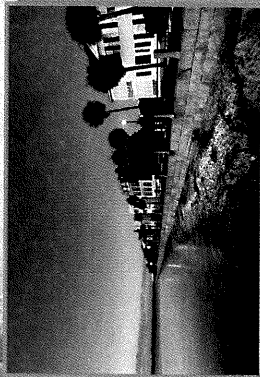
**CAPITAL
INVESTMENT
COMPANIES**

2015 Annual Conference
Belmond Charleston Place
Charleston, South Carolina
November 1-3, 2015

BELMOND
CHARLESTON PLACE
CHARLESTON

In November, our annual meeting will take place amid the glory and grandeur of the Belmond Charleston Place. Located in the heart of Charleston's historic downtown district, this renowned hotel will roll out the red carpet for Capital Investments' guests. In between meetings and group gatherings, you can browse in exclusive shops, soothe your senses with a treatment in the spa, or take a dip in the magnificent rooftop pool. Step outside, and the charms of this great Southern city will surround you.

We look forward to another great meeting of collaboration and camaraderie in Charleston. See you in November!



*Capital Investment Companies 22nd Annual
Sales /Compliance Conference
Grande Dunes Marriott, Myrtle Beach, SC
June 11-13, 2015*

**AGENDA
Thursday, June 11, 2015**

<u>Time</u>	<u>Presentation</u>	<u>Sponsor</u>	<u>Location</u>
9:30 - 11:30 am	President's Council Brunch		Tides 1 & 2
12:00 - 1:00 pm	Pre Conference Luncheon	Capital Investment Companies Desk	Atlantic 1- 4
12:00 pm	Registration		North Pre Function Lobby
12:00 - 12:10 pm	Welcome	Richard Bryant	Atlantic 1-4
12:10 - 12:20 pm	Introduction of Strategic Partners	Don Deans	Atlantic 1-4
12:20 - 12:40 pm	DST	Thomas Rozman	
12:40 - 1:00 pm	Money Guide Pro	Kristina Palangi	
1:00 - 1:20 pm	Sterne, Agee & Leach	Daniel Garnett	Atlantic 1-4
1:30 - 3:20 pm	ARC - Healthcare III	ARC - Hospitality	
	Ash Brokerage	AXA	
	Arel	Sammons	Atlantic 1-4
	Carter Validus	Lincoln National Life	
	Ohio National Life	ARC - Finance Griffin	
3:20 - 3:35 pm	Booth time		Atlantic 1-4
3:35 - 4:05 pm	Compliance	Ron King	Atlantic 1-4
4:05 - 4:35 pm	Rule 1502 (REIT Producers Only)	Mike Stubben/Don Deans	Atlantic 1-4
4:35- 5:05 pm	Capital Investment Counsel	Bobby Edgerton	Atlantic 1-4

6 :30 - 9 :00 Welcome, Richard Bryant, Cocktails & Dinner, Marriott @ Grande Dunes
9 :00 - 11 :30, Dessert, Band, Atlantic 5, Marriott @ Grande Dunes

Capital Investment Companies 22nd Annual Sales/Compliance Conference

AGENDA
Friday June 12, 2015

<u>Time</u>	<u>Presentation</u>	<u>Sponsor</u>	<u>Location</u>
7:15 - 7:45 am	Bible Study ... "Self Esteem - Performance and Perception"	Greg Hicks	Atlantic 1
8:00 am	Continental Breakfast		Atlantic 4
8:30 - 8:35 am	Welcome	Richard Bryant	Atlantic 1-4
8:35 - 9:05 am	SAL	Damon Joyner/Shannon Hussey	Atlantic 1-4
9:05 - 9:25 am	American Funds - "Expect More From Your Investments"	Billy Mills	Atlantic 1-4
9:25 - 11:35 am	ARC - BDCA II Steadfast Sierra Allianz Semper Funds Trilinc	ARC - Global II Prudential Dividend Capital Jackson National Life Franklin Square III MetLife	Atlantic 1-4
11:35 - 12:00 pm	Booth time		Atlantic 1-4
12:00 - 1:00 pm	Chief Economist, Sterne Agee & Leach, Inc - "Economic Outlook"	Lindsay Piegza	Atlantic 1-4
1:00 pm	Lunch		Courtyard
1:00 - 2:00 pm	RIA COMPLIANCE	Tess Rantby	Atlantic 1-4
4:00 - 7:00 pm	CAPITAL POOL PARTY - SPONSORED BY AMERICAN REALTY CAPITAL/SC DISTRIBUTORS		Poolside



At the Financial Services Institute (FSI), everything we do starts and ends with working to create a healthier, more business-friendly regulatory environment for our members, the independent financial services firms and independent financial advisors who provide affordable, unbiased advice to hard-working Main Street Americans.

2015 Advocacy Priorities

- Preserve and expand investor access to financial advice, products and services by:
- Engaging proactively with the Department of Labor to express concerns over its proposal to expand the definition of fiduciary.
 - Constructively engaging with the states to find solutions to the retirement savings crisis that maintain investor access to professional advice.
- Reduce unnecessary burdens on independent financial services firms and RIAs by:
- Working to constructively engage with regulators and legislators to address critical issues impacting our industry.
- Reduce unnecessary burdens on financial advisors by:
- Pursuing SEC and FINRA Advocacy initiatives that provide effective and efficient regulations that achieve our shared goal of investor protection while not unduly burdening financial advisors.
 - Supporting periodic retrospective reviews of rules and requirements.
- Making regulation and legislation work for Main Street investors by:
- Improving regulatory examinations of federally covered RIAs through the use of third-party auditors.
 - Simplifying and streamlining client disclosures.

Learn about FSI's Advocacy Priorities in more detail by visiting www.financialservices.org/issues.

FSI Wins

- Stopped advisors from being forced to become employees of their broker-dealers
- Protected access to IRA advice that would have been banned by the government by outlawing commissions (ongoing)
- Protected clients' choices of investment vehicles such as inherited "Stretch" IRAs and annuities
- Secured a seat at the regulatory table by electing 22 members to FINRA committees
- Preserved advisors' revenue streams by defending 12b-1 fees
- Stopped federal and state 5% transaction taxes on securities trades
- Turned Florida into a notice filing state through legislation signed by governor
- Exemplified Minnesota advisors from having to sit for a licensing exam to become registered
- Reversed Virginia agent compensation disclosure rule that would have conflicted with existing federal and state rules through working with an industry coalition
- Fixed state social media legislation across the U.S. by obtaining carve-outs for our members, preventing them from having to choose between violating state or federal law
- Revised FINRA's public arbitrator definition to exclude plaintiff's attorneys
- Stopped changes to FINRA's supervision rule that would have eliminated the ability of firms to have single-person OSIs
- Stopped FINRA rule that would have required firms and reps to include a link to their individualized BrokerCheck on websites and social media
- Assisted with countless improvements to FINRA and SEC rulemaking efforts

To learn more about FSI's advocacy efforts and how you can get engaged visit: www.financialservices.org.
Not a member? Join today at www.financialservices.org/Famembership.

Do it for yourself. Do it for your business. Do it for your clients.



FINANCIAL SERVICES INSTITUTE
VOICE OF INDEPENDENT FINANCIAL SERVICES FIRMS
AND INDEPENDENT FINANCIAL ADVISORS

FSI MEMBERSHIP – AN INVESTMENT IN YOUR FUTURE

The **Financial Services Institute (FSI)** is the only organization advocating solely on the behalf of independent financial advisors and independent financial services firms. At FSI, everything we do starts and ends with working to create a healthier regulatory environment for our members and protecting your clients' access to your advice.

Membership in the Financial Services Institute is an investment in the future of your business.

In addition to our advocacy on your behalf, member benefits include:

- ▶ Exclusive access to our **client-ready marketing materials** explaining the importance of independent advice to help you grow your business
- ▶ Direct links from our **Advocacy Action Center** to communicate with your legislators and regulators
- ▶ Exclusive access to guaranteed/modified-guaranteed issue group life & disability insurance through FSI's **CoveredAdvisor Plan**
- ▶ Complimentary **webinars** on important topics impacting your business
- ▶ The quarterly **FSIVoice member magazine**
- ▶ Opportunities to join FSI on **Capitol Hill and in-district visits**
- ▶ Daily subscription to the **FSI Newsbrief**, your one-stop-shop news source
- ▶ Invitation and reduced registration rates to **networking events**

Do it for yourself. Do it for your business. Do it for your clients.

For more information about becoming an FSI member and to join visit:

www.financialservices.org/FAmembership



Capital Investment Companies 22ND Annual Sales / Compliance Conference

AGENDA

Saturday, June 13, 2015

Time	Presentation	Sponsor	Location
8:30 am	Buffet Breakfast		Atlantic 1-4
9:00 - 9:10 am	Welcome/Compliance	Ron King	Atlantic 1-4
9:10 - 9:15 am	CHARITY RAFFLE DRAWING	MUST BE PRESENT	TO WIN
9:15 - 9:25 am	Capital Insurance Affiliates	Bill Nicholson	Atlantic 1-4
9:30 - 11:00 am	Ensemble Platform	Bill Nicholson, Steven Wilson Kurt Dressler, Don Deans Beth Parrrott, Tess Ramby	Atlantic 1-4
11:00 - 11:15 am	Break		Atlantic 1-4
11:15 - 11:45 am	PANEL	Scott Saffer Eric Gaddy Bron Thompson	Atlantic 1-4
11:45 - 11:55 am	FSI	Dan Gaugert	Atlantic 1-4
11:55 - 12:55 pm	Compliance	Ron King	Atlantic 1-4
12:55 pm	Closing Remarks	Richard Bryant	Atlantic 1-4

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CAPITAL INVESTMENT COMPANIES®

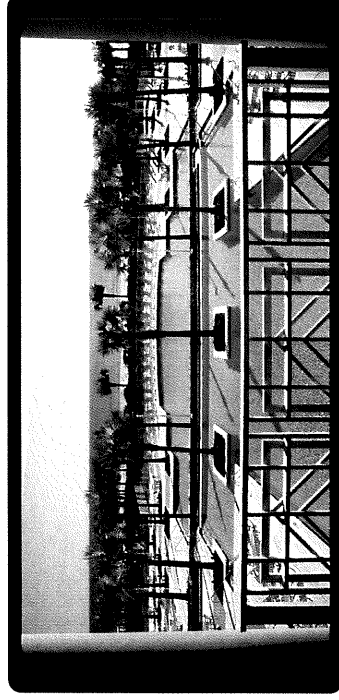
INTEGRITY • INDEPENDENCE • INNOVATION

2015 Strategic Partners

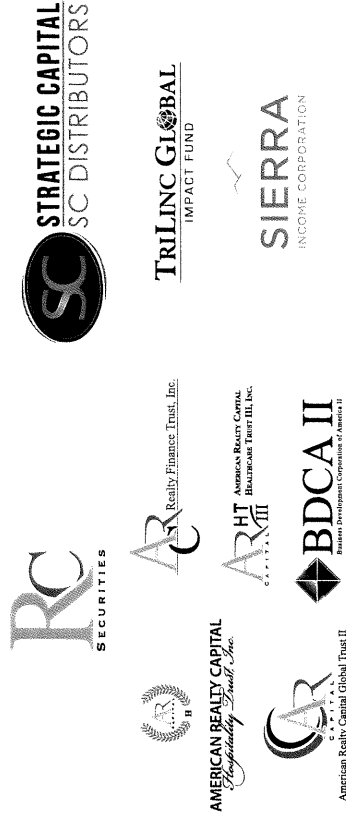





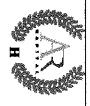





*Please join us
for a party poolside on*

**Friday, June 12th
from 4pm - 7pm**










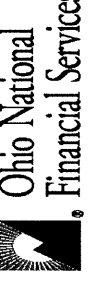

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ATTENDEE LIST

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